

	Hits	Search Text	DBs	Time Stamp
1	12388	707/1-4,6-10.ccls.	USPAT; US-PGPUB	2004/05/05 08:04
2	7774	707/100-104.1.ccls.	USPAT; US-PGPUB	2004/05/05 08:04
3	4403	707/200-205.ccls.	USPAT; US-PGPUB	2004/05/05 08:04
4	19527	707/1-4,6-10.ccls. or 707/100-104.1.ccls. or 707/200-205.ccls.	USPAT; US-PGPUB	2004/05/11 12:32
5	4559	705/1-3,30.ccls.	USPAT; US-PGPUB	2004/05/05 08:06
6	6683	709/200-203.ccls.	USPAT; US-PGPUB	2004/05/05 08:06
7	4888	713/200-202.ccls.	USPAT; US-PGPUB	2004/05/05 08:07
8	5128	235/375,379,380,382.ccls.	USPAT; US-PGPUB	2004/05/05 08:07
9	20847	705/1-3,30.ccls. or 709/200-203.ccls. or 713/200-202.ccls. or 235/375,379,380,382.ccls.	USPAT; US-PGPUB	2004/05/11 12:33
10	22	environmental and (audit adj information)	USPAT	2004/05/06 15:51
11	27	environmental and (audit adj2 record\$2)	USPAT	2004/05/11 12:33
12	115	(restrict with access) and ("no" with modification)	USPAT	2004/05/06 15:54
13	43	(restrict with access) and ("no" with modification) and (comment\$2)	USPAT	2004/05/06 16:05
14	89	(restrict with access) and ("no" with changes) and (comment\$2)	USPAT	2004/05/06 16:06
15	19628	707/1-4,6-10.ccls. or 707/100-104.1.ccls. or 707/200-205.ccls.	USPAT; US-PGPUB	2004/05/11 12:33
16	20988	705/1-3,30.ccls. or 709/200-203.ccls. or 713/200-202.ccls. or 235/375,379,380,382.ccls.	USPAT; US-PGPUB	2004/05/11 12:33
17	1786	expand\$6 with list\$2	USPAT	2004/05/11 12:36
18	561	hierarch\$4 and (expand\$6 with list\$2)	USPAT	2004/05/11 12:37
19	1	hierarch\$4 and (expand\$6 with list\$2) and (audit adj2 record\$2)	USPAT	2004/05/11 12:38

File 275:Gale Group Comp DB(TM) 1983-2004/Jan 06  
     (c) 2004 The Gale Group  
 File 621:Gale Group New Prod.Annou.(R) 1985-2004/Jan 06  
     (c) 2004 The Gale Group  
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     (c) 2004 CMP Media, LLC  
 File 674:Computer News Fulltext 1989-2003/Dec W3  
     (c) 2003 IDG Communications  
 File 696:DIALOG Telecom. Newsletters 1995-2004/Jan 05  
     (c) 2004 The Dialog Corp.  
 File 369:New Scientist 1994-2003/Dec W2  
     (c) 2003 Reed Business Information Ltd.  
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     (c) 1999 Business Wire  
 File 813:PR Newswire 1987-1999/Apr 30  
     (c) 1999 PR Newswire Association Inc  
 File 610:Business Wire 1999-2004/Jan 06  
     (c) 2004 Business Wire.  
 File 613:PR Newswire 1999-2004/Jan 06  
     (c) 2004 PR Newswire Association Inc

Set	Items	Description
S1	102376	AUDIT??? (5N) (DATA OR INFORMATION OR CONTENT OR FINDINGS OR RESULT? ? OR NOTE? ? OR OBSERVATION? ? OR REMARK? ? OR COMMENT? ? OR ANNOTATION? ?)
S2	8533800	REGULATORY() (CITATION? ? OR RULE? ?) OR REGULATION? ? OR STANDARD? ? OR GUIDELINE? ? OR REQUIREMENT? ? OR AUDIT() (CRITERIA OR CRITERION) OR PROTOCOL? ?
S3	361288	(ASSOCIAT? OR MAP????? OR CORRESPOND??? OR CORRELAT? OR MATCH??? OR RELAT??? OR REFER??? OR REFERENC???) (5N) (CITATION? ? OR REGULATION? ? OR RULE? ? OR STANDARD? ? OR GUIDELINE? ? OR REQUIREMENT? ? OR PROTOCOL? ?)
S4	669147	(CANNOT OR "NOT" OR T OR NON) (5W) (EDIT???? OR CHANG??? OR -MODIF???? OR MODIFICATION OR AMEND??? OR ALTER??? OR ALTERATION? ?)
S5	54863	S4 (5N) (DATA OR INFORMATION OR CONTENT OR FINDINGS OR RESULT? ? OR NOTE? ? OR OBSERVATION? ? OR REMARK? ? OR COMMENT? ? -OR ANNOTATION? ? OR RECORD? ? OR DOCUMENT? ? OR LOG? ? OR REPORT? ?)
S6	1158	S1 (50N) S2 (50N) S3
S7	767820	REGULATORY() (CITATION? ? OR RULE? ?) OR AUDIT() (CRITERIA OR CRITERION) OR PROTOCOL? ?
S8	77896	(ASSOCIAT? OR MAP????? OR CORRESPOND??? OR CORRELAT? OR MATCH??? OR RELAT??? OR REFER??? OR REFERENC???) (5N) (CITATION? ? OR RULE? ? OR PROTOCOL? ?)
S9	65	S1 (100N) S7 (100N) S8
S10	44	RD (unique items)
S11	37	S10 NOT PY=2002:2003
S12	373	S1 (100N) S5
S13	603	AUDIT() RECORD? ?
S14	16	S7 (50N) S13
S15	8	RD (unique items)
S16	5	S13 (50N) CITATION? ?
S17	4	RD (unique items)

11/3,K/1 (Item 1 from file: 275)  
DIALOG(R) File 275:Gale Group Computer DB(TM)  
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02360162 SUPPLIER NUMBER: 58378559 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Windows 2000 and the Web: Microsoft Prepares an XML-Enabled  
Commerce/Publishing Platform. (Product Development)**  
Gillmor, Steve  
Seybold Report on Internet Publishing, 4, 3, NA  
Nov, 1999  
ISSN: 1090-4808 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 3296 LINE COUNT: 00270

... based on the full XML 1.0 specification. Now an application can drop a dataset off transactionally and guarantee delivery after doing all logging, tracking, **auditing** and **data** transforms natively.

BizTalk tools. Three desktop applications provide interfaces for working with the BizTalk Server. They include BizDesk for managing accounts and Editor and **Mapper** applications for writing **rules** and **matching** document type definitions to database schemas.

BizDesk provides tools for setting up and managing trading partner accounts. To facilitate the exchange of business documents, trading partners expose profile properties, including organization contact names and identifiers; transmit encryption and **protocol** data; document interchange definitions; and document schema, certificate and signature information. Each partner submits an XML proposal document, that, when accepted, becomes an agreement about...

11/3,K/2 (Item 2 from file: 275)  
DIALOG(R) File 275:Gale Group Computer DB(TM)  
(c) 2004 The Gale Group. All rts. reserv.

01768894 SUPPLIER NUMBER: 16793556 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Corporate strategies: four paths to messaging. (IBM, Microsoft Corp, Lotus  
Development Corp, Novell Inc E-mail schemes)**  
Bragen, Michael A.  
PC Magazine, v14, n8, p139(5)  
April 25, 1995  
ISSN: 0888-8507 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 3106 LINE COUNT: 00269

... operating systems to provide. Security, particularly important in the corporate environment, is maturing as wide area networking and internetworking become a part of the enterprise. **Data** administration (tracking, **auditing**, and organized access to **information** stores) is maturing as well.

As they gear up to compete in the emerging market, messaging vendors are focusing on the following concerns:

Downsizing--As...

...services to new platforms.

Compatibility/Ubiquity--Integration with the existing infrastructure is another critical requirement. During the past four years, several proprietary standards for messaging **protocols** have emerged, notably Microsoft's **MAPI** (Messaging Application Programming Interface), Lotus's **VIM** (Vendor Independent Messaging), and Novell's **MHS** (Messaging Handling Service). Since large enterprises are likely to support more...

11/3,K/3 (Item 3 from file: 275)  
DIALOG(R) File 275:Gale Group Computer DB(TM)  
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01464030 SUPPLIER NUMBER: 11627404 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Protocol addition. (Systems Center's Network DataMover adds LU 6.2 protocol  
support) (Products) (Product Announcement)**  
MIDRANGE Systems, v4, n23, p51(1)

Nov 26, 1991

DOCUMENT TYPE: Product Announcement  
ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 112 LINE COUNT: 00009

ISSN: 1041-8237

LANGUAGE:

NDM provides **data** transfer, detailed **audit** statistics of transfer activity, and automated activity between transfers and **related** applications. The product supports other **protocols** including LU 0, LU 1, LU 2, X.25 and NETEX.

Systems Center is located at 1800 Alexander Bell Dr., Reston, Va. 22091; (703) 264...

11/3,K/4 (Item 1 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
(c) 2004 The Gale Group. All rts. reserv.

02819210 Supplier Number: 70933443 (USE FORMAT 7 FOR FULLTEXT)  
**Texaco Commissions Independent Audit of Reported Greenhouse Gas Emission Inventories and Protocol.**  
Business Wire, p2472  
Feb 28, 2001  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 312

... announced it has commissioned a team consisting of KPMG and environmental consultants, URS Corporation to independently verify Texaco's Greenhouse Gas Emission (GHG) inventories and **protocol**.

Upon completion of the audit, the team will publish their opinion statement making Texaco among the first U.S.-based international oil and gas major...

...for the years 1997 through 1999.

Phase one of this two-phase project will systematically review and critique the quality of Texaco's emissions inventory **protocol**, its **associated** estimation and reporting processes, and underlying data sources. Phase two will consist of audit process development, site selection and site visits for inventory verification. Both...

...climate change and believes that enough is known about it to warrant action now," said Elliott P. Laws, Texaco Safety Health and Environment President. "Independently **auditing** our greenhouse gas emissions **data** is just one way that Texaco is actively addressing the issue of climate change. Other activities include effective emissions management, participation in leading research collaborations...

11/3,K/5 (Item 2 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
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02776637 Supplier Number: 68905875 (USE FORMAT 7 FOR FULLTEXT)  
**Nanogen Provides Estimate of 2000 Year-End And Fourth Quarter Financial Results.**  
PR Newswire, pNA  
Jan 9, 2001  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 1121

... initial launch phase will be on establishing a diverse and respected customer base that will provide added value to Nanogen's product launch by developing **protocols**, acting as **reference** sites, publishing studies or speaking at conferences. We have assembled an enviable list of leading research institutions as part of this program.

"While we remain...

...the basis for these estimates to be accurate but the preliminary financial results are subject to adjustment based on review by the Company's independent auditors. Nanogen will release final financial results and will host a conference call for investors and analysts on January 31, 2001. Further information regarding the investor and analyst conference call will be...

11/3,K/6 (Item 3 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
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02491265 Supplier Number: 61930740 (USE FORMAT 7 FOR FULLTEXT)  
**Aprisma Demonstrates Next Wave E-business Management Technology At  
Network+Interop; New Technology Unifies Applications, Systems, and  
Network Management.**  
Business Wire, p1458  
May 8, 2000  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 591

... gain control over these complex environments and guarantee optimal service to their customers."

-- EXPERIENCE RULES FREE MANAGEMENT - PRISM immediately detects service outages without establishing event correlation rule sets. This improves time to operation and eliminates the hassle of defining complex relations for large multi-vendor environments.

-- IMPROVE CUSTOMER SERVICE - PRISM enables service...

...identified and isolated and proactively resolved before they affect service availability.

-- SUPPORT NEXT GENERATION DEVICES - PRISM supports new Internet quality of service technologies and routing protocols, in addition to next generation broadband and optical transmission equipment necessary to deliver converged voice, video, and data services.

-- AUDIT CONFIGURATIONS - PRISM protects the business by automatically detecting misconfigured devices and non-optimal routing paths. Aprisma's new technology intelligently identifies configuration errors that may...

11/3,K/7 (Item 4 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
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02230511 Supplier Number: 57532700 (USE FORMAT 7 FOR FULLTEXT)  
**InnaPhase Releases Automated Validation and Quality Assurance Tools; QA  
Toolset Reduces Time and Effort Expended by Internal and External  
Regulatory Auditors.**  
Business Wire, p1289  
Nov 12, 1999  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 620

... 600 page validation summary document in Microsoft Word. Additional information included with this kit are InnaPhase corporate information, software development methodology used, electronic test and reference data files, full testing protocol and templates, and installation checklist templates.

"The Validation Agent can be run as many times as required and provides automated, fast and reliable installation testing...

...year to release a further QA toolset as part of their new enterprise PK/PD system, EP1. This integrated QA toolset includes the Validation Agent, Data Trace and Audit Agent modules.

Data Trace offers internal and external auditors the ability to

create automatic and comprehensive quality assurance reports that address all aspects of data traceability. The Study Reconciliation Report contains a list...

11/3,K/8 (Item 5 from file: 621)  
DIALOG(R)File 621:Gale Group New Prod.Annou.(R)  
(c) 2004 The Gale Group. All rts. reserv.

01037093 Supplier Number: 40009326 (USE FORMAT 7 FOR FULLTEXT)  
**INTEL AND ARTHUR ANDERSEN TO PROVIDE INDUSTRIAL WORK CELL CONTROLLER**  
PR Newswire, pN/A  
March 30, 1987  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 580

... Stephen R. Zimmer, head of Arthur Andersen's Defense  
Computer Integrated Manufacturing (CIM) practice.

"Intel's commitment to standards, like the MULTIBUS (TM) architecture and **MAP** (Manufacturing Automation **Protocol**) allows us to provide a cost-effective cell controller that has a high degree of flexibility and performance," explained Zimmer. "This controller will meet all...

...300-based work cell controller specifically tailored to the requirements of the aerospace industry."

Arthur Andersen's worldwide organization provides professional services in accounting and **audit**, tax, management **information** consulting and professional education to clients through 200 offices in 50 countries. With more than 9,000 personnel in its CIM practice, Arthur Andersen offers...

11/3,K/9 (Item 1 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
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03088305 Supplier Number: 46313176 (USE FORMAT 7 FOR FULLTEXT)  
**Software Aids Environmental Audits**  
Energy Daily, v24, n74, pN/A  
April 18, 1996  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 91

The "AuditPro" **protocols reference** U.S. EHS requirements and contain checklists, inspection forms and flow diagrams to help **auditors** gather **data** to measure performance. The program--consisting of 22 state-of-the-art EHS **protocols** on both paper and disk versions--also outlines a process to examine management systems and emerging international standards.

For more information, call (617) 498-5000...

11/3,K/10 (Item 2 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
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02687372 Supplier Number: 45450013 (USE FORMAT 7 FOR FULLTEXT)  
**VALUE-ADDED NETWORKS MAP OUT INTERNET STRATEGIES**  
EDI News, v9, n7, pN/A  
April 3, 1995  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 1112

... EDI NEWS round-ups.

Among the Internet services offered or in the works: access to VAN services via the Internet's TCP/IP communications **protocol**; Internet Mail, including support for the MIME **protocol** designed to carry EDI and **related** multimedia files within the same message envelope; and World Wide Web sites for obtaining information and technical assistance.

That VANS are warming to the Internet...

...day is a long way off when a significant portion of EDI traffic will travel the global network. End-users want security, reliability, non-repudiation, **audit** trails, authentication, **data** integrity and consulting, among other services. Whether the Internet can offer these remains a question mark, VANS say. In addition, any price advantage now enjoyed...

11/3,K/11 (Item 3 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
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01613085 Supplier Number: 42462031 (USE FORMAT 7 FOR FULLTEXT)  
**NEW FIFRA LAB PRACTICES ENFORCEMENT POLICY ALREADY FLEXED**  
Pesticide & Toxic Chemical News, v19, n51, pN/A  
Oct 23, 1991  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 754

... the GLP inspection and enforcement program (i.e., impairment of the agency's inspection targeting ability or the efficiency of the GLP compliance inspections or **data audits**, etc.)." Examples included:

- failure to notify a person performing under contract of the applicability of GLPs.
- failure to keep personnel records.
- falsification of personnel records...

...management.

- failure to isolate all newly received animals from outside sources until their health status has been evaluated.
- failure to characterize the test, control or **reference** substances.

- failure to have a **protocol**.
- deviation from the **protocol** without documentation and/or study director written signoff.
- failure to record raw data.
- falsification of raw data.
- failure to retain raw data and specimens.

A...

11/3,K/12 (Item 4 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
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01283098 Supplier Number: 41420643 (USE FORMAT 7 FOR FULLTEXT)  
**Unisys intel net for SAC has civil uses**  
Advanced Military Computing, v6, n14, pN/A  
July 2, 1990  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 454

... it potential applications throughout the Defense Dept.

System handles all levels of security

Unisys program manager Lorraine Martin said the network is built upon "standard **protocols** and open systems," yet handles all levels of security. The same concept can be applied for the commercial sector for safeguarding data.

The system represents...

...tools, Unisys said. It described the tools as the:

- Network Security Server (NSS). The central point for network

security management including operator and subscriber access, data management and security audit data collection and analysis.

- Network Control Center (NCC). Provides network management via a simple network management protocol. Functions include a network topology map, a configuration management tool, and a status monitoring tool.

The NCC and NSS work with identical Sun Microsystems 3/470 server systems--each with 16...

11/3,K/13 (Item 5 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

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01276228 Supplier Number: 41400787 (USE FORMAT 7 FOR FULLTEXT)

**Unisys intel technology has civil comm use**

C4I Report, v5, n13, pN/A

June 25, 1990

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 444

... applications throughout the Defense Department."

Extensive use of commercial parts opens new vistas

Unisys program manager Lorraine Martin said the network is built upon "standard protocols and open systems," yet handles all levels of security. The same concept can be applied to the commercial sector for safeguarding data.

The system represents...

...backbone network and two management tools. Those tools include:

- Network Security Server (NSS). The central point for network security management including operator and subscriber access, data management and security audit data collection and analysis.

- Network Control Center (NCC). Provides network management via a simple network management protocol. Functions include a network topology map, a configuration management tool, a status monitoring tool and a means of actual monitoring.

The NCC and NSS work with identical Sun Microsystems 3/470...

11/3,K/14 (Item 1 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)

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09544409 Supplier Number: 72764552 (USE FORMAT 7 FOR FULLTEXT)

**Recommended two-stage newborn screening can be accomplished with a single device.**

Popelka, Gerald R.

The Hearing Journal, v54, n3, p46

March, 2001

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Professional

Word Count: 3052

... portion of the ear. The GAB method can be frequency-specific and can measure the integrity of the cochlea regardless of the integrity of the auditory nerve, though results may be sensitive to minor conductive conditions such as birth debris in the external ear canal. The ABR method may be less sensitive to minor...

...disadvantages. A two-stage process also can be implemented even if the same method is used for both stages, essentially a single re-screening. Either protocol can reduce the refer rate in normal ears (false positive results).

Neither test is 100% accurate or 100% reliable so a two-stage process reduces the effect of errors...



11/3,K/15 (Item 2 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
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05188291 Supplier Number: 47917013 (USE FORMAT 7 FOR FULLTEXT)  
**Net Design Made Easier -- NetSuite unveils software suite**  
Janah, Monua  
InformationWeek, p99  
August 18, 1997  
Language: English Record Type: Fulltext  
Document Type: Magazine/Journal; Tabloid; General Trade  
Word Count: 252

... includes NetSuite Professional Audit 3.0, for detecting the network topology; NetSuite Advanced Professional Design 3.0, which provides a design schematic to hold the **data** discovered by the **auditing** engine; NetSuite Toolkit 3.0, a set of tools to customize network design; and an expanded version of the NetSuite Library that can be used...

...provide detailed information about the device's operating system, as well as installed cards and attached PCs.

NetSuite Advanced Professional Design 3.0 recognizes network **protocols**, assigns properties **associated** with them, and validates network addresses. For example, a network planner can assign IP addresses to certain ports of a switch so that the network...

11/3,K/16 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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09931564 SUPPLIER NUMBER: 20061975 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**VPN growing pains. (six remote access solutions reviewed) (includes related article on test results) (Hardware Review) (Software Review) (Evaluation)**  
InfoWorld, v19, n49, p102(12)  
Dec 8, 1997  
DOCUMENT TYPE: Evaluation ISSN: 0199-6649 LANGUAGE: English  
RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 9461 LINE COUNT: 00782

... implementation with Triple DES strength and verified via packet sniffer that VPNet had implemented the Authentication header and Encapsulating Security Payload features of the current **protocol**.

Sessions are dynamically rekeyed at 30-second intervals via the Secure Key Internet **Protocol**, or SKIP. This is the only real difference between VPNet's technology and the current state of the IPsec standard that will likely recommend a variation of Internet Security **Association** and Key Management **Protocol** /Oakley for session-key management. We felt confident that these security provisions, combined with extensive authentication mechanisms and a packet-level security **auditing** tool, were keeping our **data** safe as it traversed the Internet.

True to its claim of hardware-speed cryptography, VPNet was the fastest overall performer of the encrypting solutions. Interestingly...

11/3,K/17 (Item 2 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2004 The Gale Group. All rts. reserv.

09360717 SUPPLIER NUMBER: 19181749 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Income tax questions for Revenue Canada: December 10, 1996.**  
Tax Executive, 49, n1, 79-85  
Jan-Feb, 1997  
ISSN: 0040-0025 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 6374 LINE COUNT: 00529

... constituency.  
Canada Revenue Commission

We shall be pleased to hear a brief update and progress report on the activities of the Canada Revenue Commission.

#### **Audit Protocol**

Commencing with the 1996 liaison meeting and throughout the ensuing year, there have been a number of discussions between representatives of Revenue Canada and business taxpayers concerning the Department's audit **protocol** initiative. As a part of the consultation process, the Institute submitted formal written **comments** on the Draft **Audit Protocol Reference Manual** (hereinafter "the **protocol** ") on September 27, 1996. In order to advance the consultation process and elaborate on the issues raised in our written submission, we invite Revenue Canada's comments concerning the following:

1. The **protocol** sets forth a framework for managing the audit process on a prospective basis. The speed with which taxpayers and Tax Services Office Auditors alike embrace the cooperative approach envisioned in the **protocol** , however, may depend upon the resolution of significant, pending audit issues in open taxation years. Has Revenue Canada developed any measures to expedite the resolution of pending audit issues and cases before, or in connection with, the implementation of the audit **protocol** ? For example, the backlog of taxpayer Scientific Research and Experimental Development (SR&ED) claims is significant in scope and magnitude. Is expedited review of these claims envisioned? Are there additional "back-year" issues that may impede the transition to an audit framework governed by the **protocol** ?

2. One underlying purpose of the **protocol** is to engender greater openness and trust between Revenue Canada and taxpayers. That trust may be undermined where significant decisions affecting the disposition of the...

11/3,K/18 (Item 3 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2004 The Gale Group. All rts. reserv.

09293138 SUPPLIER NUMBER: 19030658 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Canada's audit protocol initiative for large-file corporate taxpayers:  
September 27, 1996.

Tax Executive, 48, n6, 494-496  
Nov-Dec, 1996

ISSN: 0040-0025 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 2548 LINE COUNT: 00217

... s side, government revenues are not collected in a timely fashion and the inventory of open tax years mounts. TEI appreciates both the opportunity to **comment** on the proposals for an **audit** framework for large-file corporations and the government's implicit recognition that large-file taxpayers have such a significant stake in the tax compliance process...

...the format of its earlier proposals. Notwithstanding the good faith nature in which the initial drafts were conceived, taxpayers viewed some aspects of the audit **protocol** framework as intrusive, one-sided in favor of the government, and counter-productive to the goals of increasing the efficiency and currency of audits. Moreover...

...the framework to address taxpayer concerns as they arise. In other words, a mechanism should be developed, and timetable established, to review whether the audit **protocol** framework in the **Reference Manual** and the manner of its implementation "make sense" in light of changes in the tax law, availability of resources, and improvements in audit and management practices. Audit **protocols** , in our view, are evolutionary tools that must adapt to their environment.

#### **Managing the Audit Process**

TEI believes that effective, timely, and efficient audits depend... there are good or best practices that have withstood the test of time, the proposed document will be greatly improved and assure taxpayers that the **protocols** will not diminish protections otherwise accorded to them by law or customary audit practice.

Examples of statements that should be included:

\* No changes in administrative...

...timely basis.

Design, Implementation, and  
Administration of Protocols

Absence of a Protocol or Revocation of Existing Protocol. Question and Answer 11 of the Draft Audit **Protocol Reference** Manual states that a **protocol** may be revoked because it is not a legally binding agreement. We agree that an audit protocol is an exhortative statement of goals and objectives...

...of the audit inquiries, the procedures employed, or the number of transactions or entities examined. In other words, a taxpayer who refuses to enter a **protocol** (or revokes an existing agreement) should not be subject to more rigorous procedures or more onerous requests for documentation than other taxpayers of similar size...

...that a Question and Answer be added to the Reference Manual to clarify that no negative inference will be drawn from and no more burdensome **audit** will be conducted as a **result** of a taxpayer's declining to enter into a **protocol** or revoking an existing agreement.

Administration of **Protocols**. During the course of nearly every audit, circumstances arise that are entirely outside the control of either the taxpayer or the government. In administering the **protocols**, the commitments undertaken in the **protocol** should be viewed as flexible goals and objectives rather than rigid checklists. The importance of flexibility in the design, implementation, and administration of the agreements in particular audit cases should be stressed in the Reference Manual. We recommend that a statement be added that emphasizes this.

Design and Implementation of **Protocols**. Clearly, the individual **protocol** documents must be tailored to take account of each taxpayer's industry-specific issues, the facts and circumstances of the taxpayer's tax history and attributes, and its accounting and information system. The **Reference** Manual's outline of a **protocol** agreement must be viewed as a flexible model rather than as a prescribed one-size-fits-all agreement. Indeed, we believe it is critical that the audit **protocol** explicitly acknowledge this. Based on Question and Answer 5 of the Reference Manual, our recommendation is likely consistent with Revenue Canada's intent. Nonetheless, Revenue...

11/3,K/19 (Item 4 from file: 148)

DIALOG(R) File 148:Gale Group Trade & Industry DB  
(c)2004 The Gale Group. All rts. reserv.

08282215 SUPPLIER NUMBER: 17463518 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Necropsy as a research method in the age of molecular pathology. (Review Article)**

Kleiner, David E.; Emmert-Buck, Michael R.; Liotta, Lance A.

Lancet, v346, n8980, p945(4)

Oct 7, 1995

ISSN: 0099-5355 LANGUAGE: English RECORD TYPE: Fulltext; Abstract

WORD COUNT: 3418 LINE COUNT: 00275

TEXT:

...Bethesda, Maryland, has experienced a great decline in the number of necropsies done since 1980 (figure 1), despite all our patients being followed on research **protocols**. Necropsies not only provide physicians with information on the status of a patient's disease at death, but can also provide findings that might influence the **protocol**, as well as serving as a tissue source for **protocol - related** research. Most of the studies cited above have focused on the use of the necropsy as a quality-assurance tool that provides information on the...

...about the continued value of post-mortem examinations. In reported necropsy audits done over the past 80 years, as well as in our own internal **audit**, the rate of these significant **findings** has remained constant, varying between 10% and 30%.6 Thus the necropsy retains its role as a method to provide physicians and hospitals with information...

11/3,K/20 (Item 5 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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07608087 SUPPLIER NUMBER: 16530102 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Put security to the test. (Security Audits)**  
Kohr, Robert L.  
Security Management, v38, n12, p64(5)  
Dec, 1994  
ISSN: 0145-9406 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 2056 LINE COUNT: 00166

... resource allocation by identifying risks and defining gaps in programs, responsibilities, tools, funds, and costs. Available funds can then be targeted toward the greatest risks. **Audit results** may also be compared with the performance of competitors for benchmarking purposes.

How to audit. Traditionally, auditing has involved three major activities--the preaudit, the...

...audit team and team leader, and development of an audit plan.

Drawing up an audit plan includes defining the scope, selecting priority topics, modifying audit **protocols**, and allocating team resources. Once the audit team arrives at the site, an opening briefing should be held with management to discuss the scope and steps that evaluate risk and compliance management processes at the facility and focus on programs. The four steps **correlate** to the TQM process.

Audit **protocols** are developed that use the four steps to assist the auditors in properly assessing the security and safety management programs.

**Protocols** are designed to be topical outlines that ask open-ended questions about the topic being audited. In addition, they organize audit procedures into sequential steps...

11/3,K/21 (Item 6 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2004 The Gale Group. All rts. reserv.

04850784 SUPPLIER NUMBER: 08935068 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Using charge protocols to document clinical activities. (Patient Accounts Management)**  
Rode, Dan  
Healthcare Financial Management, v44, n10, p82(2)  
Oct, 1990  
ISSN: 0735-0732 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 1075 LINE COUNT: 00089

... to have a clinical or medical staff member or an electronic system record all service elements, each time they occur, in the medical record.

Charge **protocols**. To overcome the documentation process, many facilities have developed "**protocols**" to substantiate items or charges associated with a particular service.

In this case, **protocol** should be distinguished from a batch of services automatically performed at some time in the patient's course of diagnosis or treatment. In the past, admission **protocols** called for conducting a blanket set of diagnostic procedures on each patient at the time of admission, no matter what the patient's condition. Most payers have prohibited payment for these **protocols**, and most providers no longer perform them.

Charge or service **protocols** should be dearly established by members of the clinical or medical staff, with the help of qualified patient accounting staff members who understand third-party requirements. The **protocols** should be specific about charges or elements associated with a service activity and should cover charges or elements that are optional versus those deemed consistent.

Both departments should keep a record or **reference** on established **protocols**. They also should review **protocols** when a service activity

changes and on a periodic basis.

Hundreds of **protocols** could exist within a healthcare organization-and management must decide how to attack the monster. The effort will be facilitated or hampered by the number of **protocols** that already exist in a provider's clinical and ancillary areas. A provider should identify a process for evaluation, staffing required to facilitate a review, and the effort involved in keeping a system up-to-date with changes in technology and practice. Developing **protocols**

Because reviewing existing processes or practices involves significant effort, a healthcare provider must weigh relevant merits against exposure to negative **audit results**. Whatever the risks, patient accounts managers should ensure their departments' involvement in establishing new charges. Involving patient accounting staff members allows a hospital to identify a new charge and any services or other charges involved in setting new **protocols**.

Patient accounting staff members also should be involved in establishing charges, permitting identification of necessary procedural coding to facilitate billing, auditing, and perhaps cost accounting...

11/3,K/22 (Item 7 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
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03320554 SUPPLIER NUMBER: 05205952 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Prime Computer eyes stronger marketing position.**  
Gabriele, Michael C.  
Metalworking News, v14, p11(1)  
Sept 7, 1987  
ISSN: 0891-4036 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 883 LINE COUNT: 00073

... this DNC networking requirement. NCNet downloads part programs, tool offsets and setup sheets, communicates with production equipment on the factory floor, and uploads completed job **data** for monitoring and **auditing** by management.

NCNet networks with Prime's 'Medusa' software, its core CAD platform, and with Prime 'Information,' its core software platform for MRP II (manufacturing...

...goal, companies would have nearly unlimited manufacturing flexibility to react to market demands and change designs.

According to Boes, Prime supports both the Manufacturing Automation **Protocol** ( **MAP** ) and the Technical Office **Protocol** (TOP), and is currently developing a MAP/TOP compatible local area network (LAN). Prime currently offers its proprietary 'PrimeNet' LAN to customers, which is not ...

11/3,K/23 (Item 1 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
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02032073 54806867  
**Decision processes in audit evidential planning: A multistage investigation**  
Wright, Arnold M; C, Jean  
Auditing v19n1 PP: 123-143 Spring 2000  
ISSN: 0278-0380 JRNL CODE: APT  
WORD COUNT: 10981

TEXT: SUMMARY

This paper reports the results of a verbal **protocol** study designed to assess how variation in inherent-risk factors affects auditors' decision processes throughout audit planning, including the tasks of risk assessment, generation of...

...results highlight the importance of identifying and communicating client

risk factors to all audit team members in the planning stage.

Key Words: Auditing, Analytical procedures, **Audit** planning, Hypothesis generation.

**Data** Availability: Verbal **protocols** from this study are available from the authors upon request.

The purpose of this study is to explore how differences in client inherent-risk factors affect auditors' decision processes across several inter- **related** audit-planning tasks. Using verbal **protocol** analysis, we examine how audit plans are developed and justified, and whether differences in decision processes are associated with variation in client risk factors. This...

11/3,K/24 (Item 2 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2004 ProQuest Info&Learning. All rts. reserv.

01489231 01-40219  
**Net design made easier**  
Janah, Monua  
Informationweek n644 PP: 99 Aug 18, 1997  
ISSN: 8750-6874 JRNL CODE: IWK  
WORD COUNT: 251

...TEXT: includes NetSuite Professional Audit 3.0, for detecting the network topology; NetSuite Advanced Professional Design 3.0, which provides a design schematic to hold the **data** discovered by the **auditing** engine; NetSuite Toolkit 3.0, a set of tools to customize network design; and an expanded version of the NetSuite Library that can be used...

... provide detailed information about the device's operating system, as well as installed cards and attached PCs.

NetSuite Advanced Professional Design 3.0 recognizes network **protocols**, assigns properties **associated** with them, and validates network addresses. For example, a network planner can assign IP addresses to certain ports of a switch so that the network...

11/3,K/25 (Item 3 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2004 ProQuest Info&Learning. All rts. reserv.

01466108 01-17096  
**A computational model of loan loss judgments**  
Wright, William T; Willingham, John J  
Auditing: A Journal of Practice & Theory v16n1 PP: 99-113 Spring 1997  
ISSN: 0278-0380 JRNL CODE: APT  
WORD COUNT: 7372

...TEXT: linkage between patterns of information, intermediate subgoal conclusions (see figure 2), and a loan collectibility judgment. Other experienced auditors may reason differently. Use of verbal **protocol** analysis (e.g.,

Biggs and Mock 1983) would provide process data for determining the generality of the model. Additional ways of studying loan judgment processes...

...how this analysis might be conducted.

The relative importance of information cues also merits further research. The declarative and procedural knowledge manifested in the production **rules** implies the **relative** importance of information cues for determination of subgoal (and loan) conclusions. The extent to which values

of a cue lead to different subgoal conclusions (holding...

... e.g., Libby 1976) and this would complicate any analysis of the impact of a single cue. The model's results may be compared with **results** from other experienced financial institution **auditors**, perhaps using other judgment research methodologies for assessing cue importance.

Footnote:

Helpful comments on this research were provided by Andy Bailey, Jim Peters and John...

11/3,K/26 (Item 4 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
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01449336 01-00324

**TEI-Revenue Canada liaison meeting (income tax issues)--December 10, 1996**

Anonymous

Tax Executive v49n3 PP: 259-270 May/Jun 1997

ISSN: 0040-0025 JRNL CODE: TXE

WORD COUNT: 10619

...TEXT: National Commission on the Restructuring of the IRS and of TEI's interaction of it. Mr. McCloskey indicated that he would like to get more **information** from TEI on this score.

#### **Audit Protocol**

Commencing with the 1995 liaison meeting and throughout the ensuing year, there have been a number of discussions between representatives of Revenue Canada and business taxpayers concerning the Department's audit **protocol** initiative. As a part of the consultation process, the Institute submitted formal written **comments** on the Draft **Audit Protocol Reference Manual** (hereinafter, "the **protocol** ") on September 27, 1996. In order to advance the consultation process and elaborate on the issues raised in our written submission, we invite Revenue Canada's comments concerning the following.

(1): The **protocol** sets forth a framework for managing the audit process on a prospective basis. The speed with which taxpayers and Tax Services Office Auditors alike embrace the cooperative approach envisioned in the **protocol**, however, may depend upon the resolution of significant, pending audit issues in open taxation years. Has Revenue Canada developed any measures to expedite the resolution of pending audit issues and cases before, or in connection with the implementation of the audit **protocol**? For example, the backlog of taxpayer Scientific Research and Experimental Development (SR&ED) claims is significant in scope and magnitude. Is expedited review of these claims envisioned? Are there other "back-year" issues that may impede the transition to an audit framework governed by the **protocol**?

Response: Revenue Canada recognizes that there are a number of pending audit issues in many large corporations which require expedient resolution. Because of this, and to address different needs of different corporations, all **protocols** will be developed through a consultative process and each corporation will have its own **protocol**.

To ensure that all outstanding issues are addressed up-front, "Guidelines for developing an audit plan," which is a key element of the Audit Protocol ...

11/3,K/27 (Item 5 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
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01385353 00-36340

**Income tax questions for Revenue Canada: December 10, 1996**

Wheable, Alan

Tax Executive v49n1 PP: 79-85 Jan/Feb 1997

ISSN: 0040-0025 JRNL CODE: TXE

WORD COUNT: 5912

...TEXT: constituency.

Canada Revenue Commission

We shall be pleased to hear a brief update and progress report on the activities of the Canada Revenue Commission.

#### **Audit Protocol**

Commencing with the 1995 liaison meeting and throughout the ensuing year, there have been a number of discussions between representatives of Revenue Canada and business taxpayers concerning the Department's audit **protocol** initiative. As a part of the consultation process, the Institute submitted formal written **comments** on the Draft **Audit Protocol Reference Manual** (hereinafter, "the **protocol** ") on September 27, 1996. In order to advance the consultation process and elaborate on the issues raised in our written submission, we invite Revenue Canada's comments concerning the following:

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2. One underlying purpose of the **protocol** is to engender greater openness and trust between Revenue Canada and taxpayers. That trust may be undermined where significant decisions affecting the disposition of the...

11/3,K/28 (Item 6 from file: 15)

DIALOG(R) File 15:ABI/Inform(R)

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01360028 00-11015

**Canada's audit protocol initiative for large-file corporate taxpayers: September 27, 1996**

Bocti, Pierre M

Tax Executive v48n6 PP: 494-496 Nov/Dec 1996

ISSN: 0040-0025 JRNL CODE: TXE

WORD COUNT: 2473

...TEXT: s side, government revenues are not collected in a timely fashion and the inventory of open tax years mounts. TEI appreciates both the opportunity to **comment** on the proposals for an **audit** framework for large-file corporations and the government's implicit recognition that large-file taxpayers have such a significant stake in the tax compliance process...

... the format of its earlier proposals. Notwithstanding the good faith nature in which the initial drafts were conceived, taxpayers viewed some aspects of the audit **protocol** framework as intrusive, onesided in favor of the government, and counter-productive to the goals of increasing the efficiency and currency of audits. Moreover, had...

... the framework to address taxpayer concerns as they arise. In other



words, a mechanism should be developed, and timetable established, to review whether the audit **protocol** framework in the **Reference** Manual and the manner of its implementation "make sense" in light of changes in the tax law, availability of resources, and improvements in audit and management practices. Audit **protocols**, in our view, are evolutionary tools that must adapt to their environment.

#### Managing the Audit Process

TEI believes that effective, timely, and efficient audits depend...there are good or best practices that have withstood the test of time, the proposed document will be greatly improved and assure taxpayers that the **protocols** will not diminish protections otherwise accorded to them by law or customary audit practice.

Examples of statements that should be included:

No changes in administrative...

...basis.

Design, Implementation, and Administration of Protocols

Absence of a Protocol or Revocation of Existing Protocol. Question and Answer 11 of the Draft Audit Protocol **Reference** Manual states that a **protocol** may be revoked because it is not a legally binding agreement. We agree that an audit protocol is an exhortative statement of goals and objectives...

... flow from this posture. First, the revocation of an agreement with a taxpayer or, more likely the case, the taxpayer's refusal to enter a **protocol** agreement should have no effect on the scope of the audit inquiries, the procedures employed, or the number of transactions or entities examined. In other words, a taxpayer who refuses to enter a **protocol** (or revokes an existing agreement) should not be subject to more rigorous procedures or more onerous requests for documentation than other taxpayers of similar size... that a Question and Answer be added to the Reference Manual to clarify that no negative inference will be drawn from and no more burdensome **audit** will be conducted as a **result** of a taxpayer's declining to enter into a **protocol** or revoking an existing agreement.

Administration of **Protocols**. During the course of nearly every audit, circumstances arise that are entirely outside the control of either the taxpayer or the government. In administering the **protocols**, the commitments undertaken in the **protocol** should be viewed as flexible goals and objectives rather than rigid checklists. The importance of flexibility in the design, implementation, and administration of the agreements in particular audit cases should be stressed in the Reference Manual. We recommend that a statement be added that emphasizes this.

Design and Implementation of **Protocols**. Clearly, the individual **protocol** documents must be tailored to take account of each taxpayer's industry-specific issues, the facts and circumstances of the taxpayer's tax history and attributes, and its accounting and information system. The **Reference** Manual's outline of a **protocol** agreement must be viewed as a flexible model rather than as a prescribed one-size-fits-all agreement. Indeed, we believe it is critical that the audit **protocol** explicitly acknowledge this. Based on Question and Answer 5 of the Reference Manual, our recommendation is likely consistent with Revenue Canada's intent. Nonetheless, Revenue...

11/3,K/29 (Item 7 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
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01317605 99-67001

Critical features of an ISO 9001/14001 harmonized health and safety

**assessment instrument**

Dyjack, David T; Levine, Steven P

American Industrial Hygiene Association Journal v57n10 PP: 929-935 Oct 1996

ISSN: 0002-8894 JRNL CODE: AIH

WORD COUNT: 5976

...TEXT: of conformity assessment considerations will arise. Issues concerning which professionals will be eligible to conduct verification audits, how the new standard will be interpreted by **auditors**, distortion of **audit findings**, and related matters will require resolution.

The purpose of this article is two-fold. First, the critical features of an ISO 9000/14000 harmonized OHSMS assessment instrument (or auditing tool) will be described. Second, the critical features will be examined as they **correlate** with conformity assessment **protocols**. The authors reviewed accessible ISO 9001 and 14001 assessment instruments, published and unpublished draft ISO standards, investigated industry and governmental auditing practices, and reviewed correspondence...

11/3,K/30 (Item 8 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00931852 95-81244

**Guidelines, protocols and outcomes**

Long, Andrew F

International Journal of Health Care Quality Assurance v7n5 PP: 4-7 1994

ISSN: 0952-6862 JRNL CODE: HCA

WORD COUNT: 2726

...TEXT: use evidence on effectiveness and outcomes to specify quality requirements.

(2) Within audit:

- \* establish agreed standards and goals based on evidence of effectiveness;
- \* develop treatment **protocols** incorporating evidence on effectiveness;
- \* identify appropriate measures of outcome to monitor the service provided.

As far as outcomes are concerned, it is clear that much...

...3) Explore potential causes of condition and health care interventions.

(4) Select appropriate measures of outcome.

(5) Review evidence on effectiveness:

-- If evidence develop guideline/ **protocol** .

-- If lack of evidence:

-- collect **data** on desired outcomes;

-- **audit** service against desired outcomes;

-- commission research.

(6) Monitor and audit services provided.

Once having selected a particular intervention or package of care, the starting point is to clarify the desired outcomes, moving on to identify and explore available evidence on effectiveness. If there is available evidence, then an evidence-based **protocol** or guideline can be developed. If evidence is lacking, data on the desired outcomes must be collected (purchased) and services audited against these outcome criteria...

...research may need to be commissioned.

For example, on the basis of evidence as reviewed within Effective Health Care bulletin No. 4 (November 1992), a **protocol** for appropriate **referral** for the treatment of glue ear could be developed, including the guarantee of audiometric testing immediately prior to surgery, leading on to clear criteria for monitoring the implementation of the **protocol**, including the simple recording of the dry tap rate (a process measure but indicative of the appropriateness and, thus, desired outcome of the intervention). Practitioner...

11/3,K/31 (Item 9 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
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00854414 95-03806

**Value-added audit training**

Sakofsky, Steven; Vitale, D David  
Quality Progress v27n5 PP: 45-47 May 1994  
ISSN: 0033-524X JRNL CODE: QPR

...ABSTRACT: a training program for auditors. The course text contains complete lecture slides, exercise explanations, case studies, an actual quality manual used during the exercises, and **reference** materials. Necessary audit **protocols** include: 1. deciding to perform an audit, 2. preparing for an audit, 3. identifying effective audit practices, 4. writing discrepancies, 5. conducting a closing meeting, 6. writing reports, and 7. verifying corrective actions. As a **result** of the course, certified **auditors** are now conducting scheduled external and internal audits. All auditors understand the requirements of ISO 9001 and ISO 9002 and can assist their divisions in...

11/3,K/32 (Item 10 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
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00750894 94-00286

**Expert and novice problem-solving behavior in audit planning Discussion**

Bedard, Jean; Mock, Theodore J; Boritz, J E  
Auditing: A Journal of Practice & Theory v11 (Supplement) PP: 1-32 1992  
ISSN: 0278-0380 JRNL CODE: APT  
WORD COUNT: 16746

...TEXT: decision evaluation, training, and improvement.

However, tracing auditors' problem-solving behavior is not an easy task. This study employs a process-tracing methodology comparable to **protocol** analysis that helps overcome the constraints of sample size, reliability, and costs **associated** with verbal **protocol** analysis. This is done by using a computer-controlled information retrieval system (CIRS) that traces the subjects' information search behavior. Three dimensions of information search behavior are examined: information search strategy, information acquisition, and **information** search duration. Twenty-four computer **audit** specialists (experts) and 28 non-specialist auditors (novices) participated in the study. The audit case implemented on the CIRS involves a computerized accounting system for...

... items on the background of the client, the general computer controls, the application controls, and the audit decisions.

Use of the CIRS instead of verbal **protocol** analysis proved successful in enhancing reliability, reducing costs of coding, and expanding sample size. In general, experts and novices exhibited different information search behavior. Experts...

11/3,K/33 (Item 11 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)  
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00658501 93-07722

#### **Etiquette and Auditors**

Ratliff, Richard L.; West, Richard P.; Peck, Ralph L.  
Managerial Auditing Journal v7n6 PP: 17-23 1992  
ISSN: 0268-6902 JRNL CODE: MAJ  
WORD COUNT: 4568

...TEXT: one else was in the office. Later he said he felt that it would save her effort and time. In the process, he ignored office **protocol** .

The director responsible for the audit received a telephone call from the auditee's chief executive officer suggesting that the auditor be removed from the...

... guilty, however, of violating good manners. Victimized by the dual effects of ignorance of etiquette, on the one hand, and the necessity of proper office **protocol** on the other, this auditor and his department suffered unpleasant consequences which might have been avoided.

Certainly this is only one example, but probably all...

... deficiencies. Such projects require great sensitivity on the part of auditors in order to motivate improvement rather than creating unresolved, and sometimes unnecessary, conflict over **audit results** . Where **auditors** are unable to establish positive, constructive relationships within organizations, the contribution of the audit function itself can be jeopardized. Our **observation** has been that successful **auditors** and successful auditing departments tend to practise good people skills, including good etiquette, as well as good technical skills.

#### **A FEW PRINCIPLES AND GUIDELINES AS A BASIS FOR GOOD MANNERS**

Good manners are based on only a few principles of human relations and business **protocol** . Like most detailed procedures, those **related** to etiquette result from a few fundamental general principles and conventions.

#### **HUMAN RELATIONS**

Taking some liberties in reducing a more extensive and sophisticated treatment by...

11/3,K/34 (Item 1 from file: 647)  
DIALOG(R)File 647:CMP Computer Fulltext  
(c) 2004 CMP Media, LLC. All rts. reserv.

01150125 CMP ACCESSION NUMBER: INW19980112S0017

#### **Playing Safely In Data Traffic - Network Associates adds remote security to gear**

Amy K. Larsen  
INTERNETWEEK, 1998, n 697, PG12  
PUBLICATION DATE: 980112  
JOURNAL CODE: INW LANGUAGE: English  
RECORD TYPE: Fulltext  
SECTION HEADING: News & Analysis  
WORD COUNT: 348

... granting different levels of access to data based on job function. Network Associates' newest release also logs who taps into the Distributed Sniffer System for **protocol** information.

For Brian Leafe, a senior technical analyst at Liberty Mutual, an insurance company, the appeal of the new package has less to do with...

...more detailed information about difficult problems that front-line personnel couldn't resolve. Third-tier engineers requiring administrator rights get full access to all DSS **information** .

Leafe added that [redacted] an **audit** trail to record [redacted] is accessing **protocol** information will come in handy when multiple operators from different departments access the DSS server.

DSS 4.5 also has 125 new **protocol** decodes. Network **Associates** also is offering more in-depth analysis of HTTP traffic in the package. The DSS product is priced from \$5,000 for a 10-Mbps...

11/3,K/35 (Item 2 from file: 647)  
DIALOG(R)File 647:CMP Computer Fulltext  
(c) 2004 CMP Media, LLC. All rts. reserv.

01135575 CMP ACCESSION NUMBER: IWK19970818S0052  
**Net Design Made Easier - NetSuite unveils software suite**  
Monua Janah  
INFORMATIONWEEK, 1997, n 644, PG99  
PUBLICATION DATE: 970818  
JOURNAL CODE: IWK LANGUAGE: English  
RECORD TYPE: Fulltext  
SECTION HEADING: Networking  
WORD COUNT: 249

... includes NetSuite Professional Audit 3.0, for detecting the network topology; NetSuite Advanced Professional Design 3.0, which provides a design schematic to hold the **data** discovered by the **auditing** engine; NetSuite Toolkit 3.0, a set of tools to customize network design; and an expanded version of the NetSuite Library that can be used...

...provide detailed information about the device's operating system, as well as installed cards and attached PCs.

NetSuite Advanced Professional Design 3.0 recognizes network **protocols**, assigns properties **associated** with them, and validates network addresses. For example, a network planner can assign IP addresses to certain ports of a switch so that the network...

11/3,K/36 (Item 1 from file: 810)  
DIALOG(R)File 810:Business Wire  
(c) 1999 Business Wire . All rts. reserv.

0734712 BW0069

**ADP INTEGRATED MEDICAL: ADP Integrated Medical Solutions and Nationwide Mutual Insurance Co. Announce Launch of Beta Testing for First-of-Its-Kind Injury Claims Evaluation System**

August 13, 1997

Byline: Business Editors & Insurance Writers

...similar auto claims, provider history, etc. This information is gathered from a wide spectrum of sources, including the U.S. Department of Labor and published **protocols** from The American Chiropractic **Association** and The American Medical Association.

In addition, ADP IMS also provides the nation's largest repository for P&C injury claims data and settlements which...

...utilizing PBA, all medical bills are submitted through an audit process which performs fee review, utilization review, duplicate bill verification and administrative checks.

Once this **audit** is complete, the **information** is brought forward in ICE for the claim representative to review as the claim is evaluated.

IMS is a division of ADP Claims Solutions Group...

11/3,K/37 (Item 1 from file: 610)

DIALOG(R)File 610:Busin Wire  
(ç) 2004 Business Wire. All rts. reserv.

00396285 20001027301B3579 (USE FORMAT 7 FOR FULLTEXT)

**InnaPhase to Preview New Pharmaceutical Software Solution; EP2 Provides Integrated Solution to Power Enterprise-Wide Knowledge in Early Drug Development**

Business Wire

Friday, October 27, 2000 15:08 EDT

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 752

...analysis and reporting.

During EDD, extensive investigations are conducted to determine a compound's potential, including pharmacokinetic/ pharmacodynamic (PK/PD) analyses.

The EP2 system adds **protocol** and report management to the EP Series, allows for more flexibility and database connectivity, and is totally **protocol** driven. The major innovations in the new EP2 solution include the following:

- Provides open database architecture based on OracleTM.
- Is totally **protocol** -driven and GLP-compliant.
- Offers the ability to manage and tune data from different databases.
- Allows cross-project, cross-study data mining
- Provides high-throughput...

...examination, study reconciliation and full study traceability.

The EP Series is a scalable technology solution that provides centralized data management significantly better than before. The **protocol** -driven enterprise system **maps** early drug development business processes and can be easily integrated into existing IT infrastructures.

It provides intelligent data import and export components, a flexible cross...

...Full GLP compliance across the system is managed by a security and audit layer which communicates with a set of robust quality assurance tools, allowing **auditors** to perform full **data** traceability through a study's life in the system.

The EP Series allows the creation and management of an unlimited number of projects, studies, users, roles and privileges. The system provides **protocol** design and approval, which drives the entire system, allowing users to make controlled modifications. A powerful audit trail, security and audit agent ensure GLP compliance.

The database accommodates any type of study structure, and directly links to clinical, laboratory and other data structures which pass through the GLP security and **audit** layer. The system imports **data** from external databases and other file sources utilizing a flexible, validated procedure.

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S12	25	S2 AND S11
S13	3	S7 AND S11

S14	28	S12:S13
S15	24	RD (unique items)
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S19	51	S1 AND S5
S20	40	RD (unique items)
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05884233 E.I. No: EIP01366640128

**Title: Information systems audit trails in legal proceedings as evidence**

Author: Allinson, C.

Corporate Source: Information Security Section Information Management  
Division Queensland Police Service, Brisbane, QLD 4001, Australia

Source: Computers and Security v 20 n 5 2001. p 409-421

Publication Year: 2001

CODEN: CPSEDU ISSN: 0167-4048

Language: English

Document Type: JA; (Journal Article) Treatment: G; (General Review)

Journal Announcement: 0109W3

Abstract: Australian State and Commonwealth Governments are interested in the collection, storage and presentation of audit trail information, particularly within a legal framework. Law enforcement agencies have a legal obligation to keep **audit records** of all activity on information systems used within their operations. Little to no research has been identified in relation to the use of internal audit systems for evidentiary purpose. A brief history of audit trails is given with **requirements** for such audit trails beyond the year 2000. The Queensland Police Service (QPS), Australia, is used as a major case study. Information on principles, techniques and processes used, and the reason for the recording, storing and releasing of audit information for evidentiary purposes have been studied. To assist in determining current practice in the Australian Commonwealth and State Governments the results of an Australia wide survey of all government departments are given and contrasted to the major study for QPS. Reference is also made to the legal obligations for authorization of audit analysis, expert witnessing and legal precedence in relation to court acceptance or rejection of audit information used in evidence. It is shown that most organizations studied generate and retain audit trails but the approach is not consistent nor is it comprehensive. It is suggested that these materials would not withstand a serious legal challenge. 17 Refs.

Descriptors: \*Security of data; Law enforcement; Computer crime; Electronic mail; Societies and institutions; Information technology

Identifiers: Information systems

Classification Codes:

901.1.1 (Societies & Institutions)

723.2 (Data Processing); 723.5 (Computer Applications); 901.1  
(Engineering Professional Aspects)

723 (Computer Software, Data Handling & Applications); 901 (Engineering Profession); 903 (Information Science)

72 (COMPUTERS & DATA PROCESSING); 90 (ENGINEERING, GENERAL)

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01879779 E.I. Monthly No: EIM8507-038713

**Title: PRODUCT ASSURANCE PROGRAM FOR FIBER OPTICS.**

Author: Depp, Robert E.; McNicholl, Brian P.; Raye, John F.

Corporate Source: Defense Electronics Supply Cent, Qualifications Div,  
Dayton, OH, USA

Conference Title: Proceedings of 33rd International Wire and Cable Symposium.

Conference Location: Reno, NV, USA Conference Date: 19841113

Sponsor: US Army Communications-Electronics Command, Fort Monmouth, NJ,  
USA

E.I. Conference No.: 06514

Source: Proceedings of International Wire and Cable Symposium 33rd. Publ  
by US Army Communications-Electronics Command, Fort Monmouth, NJ, USA p  
419-423

Publication Year: 1984

CODEN: PIWSDG ISSN: 0091-7702

Language: English  
Document Type: PA; (Conference Paper)  
Journal Announcement: 8507

Abstract: As a basis for qualification to military fiber optics specifications, manufacturers will be required to establish, implement and maintain a Product Assurance Program. This program must demonstrate and assure that the design, materials, production, inspection and testing of fiber optic devices are adequately controlled to sustain operation in a military environment. Discussion of the program **requirements** is in the following areas: Management Responsibility for Quality; Product Assurance Program; Organization; Design, Processing, Manufacturing, Testing and Calibration Procedures; Records to be Maintained; Self Audits; and Process Control. 4 refs.

Descriptors: \*OPTICAL FIBERS--\*Military Communications; TELECOMMUNICATION CABLES; QUALITY ASSURANCE; PROCESS CONTROL

Identifiers: PRODUCT ASSURANCE PROGRAMS; SELF- AUDIT ; RECORDS  
MAINTENANCE

Classification Codes:

741 (Optics & Optical Devices); 404 (Military Engineering); 717 (Electro-Optical Communications)

74 (OPTICAL TECHNOLOGY); 40 (CIVIL ENGINEERING); 71 (ELECTRONICS & COMMUNICATIONS)

15/5/9 (Item 3 from file: 2)

DIALOG(R)File 2:INSPEC

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7144668 INSPEC Abstract Number: C2002-02-7130-006

**Title: Information systems audit trails in Australian Commonwealth and State Government departments**

Author(s): Allinson, C.

Author Affiliation: Inf. Security Sect., Queensland Police Service, Brisbane, Qld., Australia

Conference Title: Security and Control of IT in Society - II (SCITS-II). Proceedings of the IFIP WG 9.6/11.7 Working Conference p.5-20

Editor(s): Fischer-Hubner, S.; Olejar, D.; Rannenber, K.

Publisher: Comenius Univ, Bratislava, Slovakia

Publication Date: 2001 Country of Publication: Slovakia vi+248 pp.

ISBN: 3 901882 13 8 Material Identity Number: XX-2001-01616

Conference Title: 2nd Working Conference on Security and Control of Information Technology in Security

Conference Sponsor: CEPIS; DETEC; ArtlnApples

Conference Date: 15-16 June 2001 Conference Location: Bratislava, Slovakia

Language: English Document Type: Conference Paper (PA)

Treatment: Practical (P)

Abstract: State and Commonwealth Governments are interested in the collection, storage and presentation of audit trail information, particularly within a legal framework. Law Enforcement Agencies have a legal obligation to keep **audit records** of all activity on information systems used within their operations. Little to no research has been identified in relation to the use of internal audit systems for evidentiary purpose. A brief history of audit trails is given with **requirements** for such audit trails beyond the year 2000. The Queensland Police Service (QPS), Australia, is used as a major case study. Information on principles, techniques and processes used, and the reason for the recording, storing and releasing of audit information for evidentiary purposes have been studied. To assist in determining current practice in the Australian Commonwealth and State Governments the results of an Australia wide survey of all government departments are given and contrasted to the major study for QPS. Reference is also made to the legal obligations for authorisation of audit analysis, expert witnessing and legal precedence in relation to court acceptance or rejection of audit information used in evidence. It is shown that most organisations studied generate and retain Audit Trails but the approach is not consistent nor is it comprehensive. It is suggested that these materials would not withstand a serious legal challenge. (9 Refs)

Subfile: C  
Descriptors: information systems; law administration; police data processing  
Identifiers: Australian Commonwealth Departments; Australian State Government Departments; audit trails; Queensland Police Service; Australia; legal obligations; audit analysis; expert witnessing; legal precedence; court acceptance; court rejection; law-enforcement  
Class Codes: C7130 (Public administration)  
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15/5/20 (Item 5 from file: 6)  
DIALOG(R)File 6:NTIS  
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1453973 NTIS Accession Number: DE89010780  
**Hassle-Free Audit Trails: Automated Audits**  
Manatt, D. R.  
Lawrence Livermore National Lab., CA.  
Corp. Source Codes: 068147000; 9513035  
Sponsor: Department of Energy, Washington, DC.  
Report No.: UCRL-100602; CONF-8904194-1  
Apr 89 7p  
Languages: English Document Type: Conference proceeding  
Journal Announcement: GRAI8920; NSA1400  
INGRES User Association meeting, New Orleans, LA, USA, 23 Apr 1989.  
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NTIS Prices: PC A02/MF A01  
Country of Publication: United States  
Contract No.: W-7405-ENG-48

The origin and history of data in databases are often as important as the data itself. A full audit trail of database operations is the best record of a database's history. INGRES provides an audit facility to format journal file entries into **audit records**. This facility is cumbersome and difficult to use. I describe two INGRES Report Writer reports that take all the effort out of maintaining a complete audit trail. To maintain an audit trail of changes to INGRES tables it is necessary to run AUDITDB individually on each table and store a record of the AUDITDB output. The INGRES manuals suggest how the **audit records** can be copied into INGRES tables for storage. Thus the maintenance of an audit trail consists of: creating tables to receive **audit records**, running AUDITDB, and storing the **audit records** into the tables. All this must be done for each table to be audited. My approach to this drudgery is to give it all to the INGRES system. Therefore, I present reports that generate command files to create the tables and run the audits. The only job left for a human is to submit the generated command files to the batch queue. (ERA citation 14:030228)

Descriptors: \*Data Base Management; \*Audits; Automation; Computer Architecture  
Identifiers: ERDA/990300; NTISDE  
Section Headings: 88B (Library and Information Sciences--Information Systems); 62B (Computers, Control, and Information Theory--Computer Software)

15/5/22 (Item 7 from file: 6)  
DIALOG(R)File 6:NTIS  
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0678043 NTIS Accession Number: HRP-0900008/4/XAB  
**Competency Assurance Program for Occupational Therapy Practitioners**  
(Final rept)  
Gray, M.  
American Occupational Therapy Association, Inc., Rockville, Md.  
Sponsor: Bureau of Health Manpower, Hyattsville, Md. Div. of Associated

Health Professions.

30 Jun 77 94p

Journal Announcement: GRAI7808

Order this product from NTIS by: phone at 1-800-553-NTIS (U.S. customers); (703)605-6000 (other countries); fax at (703)321-8547; and email at orders@ntis.fedworld.gov. NTIS is located at 5285 Port Royal Road, Springfield, VA, 22161, USA.

NTIS Prices: PC A05/MF A01

Contract No.: PHS-HRA-231-76-0064

The objective of this American Occupational Therapy Association (AOTA) project was to design policies and procedures for occupational therapist and occupational therapy assistant competency-based recertification. Project activities included the exploration and appraisal of various methods of recertification, such as continuing education **requirements**, **audit** / **record** review **requirements**, and written examination **requirements**. Criteria were developed for use in appraising these and other recertification methods. Several problems were revealed in the appraisal. They related to generalist versus specialist recertification and continuing education **requirements** for relicensure. The chart **audit** / **record** review procedure was evaluated to determine its suitability as a competency evaluation instrument for recertification purposes, and recommendations pertaining to policies and procedures for a recertification program for occupational therapy practitioners were developed. It is concluded that an audit procedure is not feasible as a measure of competency. A criterion-referenced examination is proposed for use as a competency evaluation instrument for recertification. Recertification is viewed as one component of a larger and more comprehensive program known as a competency assurance program. Components of a competency assurance program for occupational therapy practitioners are identified. Further information on certification **requirements** and the AOTA is appended.

Descriptors: Quality assurance; \*Health manpower; \*Certification; **Regulations**; Performance tests; Methodology; Medical personnel; Measurement; Licenses; Health occupations; Health manpower education; Health care; Health care delivery systems; Credentials; Continuing education

Identifiers: \*Occupational therapists; HRP/DEDBBB; HRP/ZK; HRP/SBC; HRP/DEE; HRP/PAG; HRP/EG; HRP/EGEO/YNO; HRPOCC/XGD; Policies; Procedures; Criteria; NTISHRANHP

Section Headings: 44D (Health Care--Health Care Assessment and Quality Assurance)

15/5/23 (Item 8 from file: 6)

DIALOG(R)File 6:NTIS

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0621630 NTIS Accession Number: HRP-0012869/4/XAB

**Quality Control in Psychiatry and the Problem Oriented System**

Lipp, M.

Veterans Administration Hospital, San Francisco, Calif. Dept. of Psychiatry.

1973 11p

Document Type: Journal article

Journal Announcement: GRAI7712

Pub. in International Jnl. of Psychiatry v11 p355-365 Sep 73.

NTIS Prices: Not available NTIS

Problem-oriented medical records (POMR) are discussed as a technique for judging the quality of psychiatric care. In a paper presented at the 1972 meeting of the American Psychiatric Association, it was argued that self **regulation** of psychiatry obscures the fact that there is no meaningful **regulation** of professionals in psychiatry. Attempts to measure physician or therapist functioning in psychiatry usually focus on outcome, the most direct measure of the goal of therapy: helping a patient with problems which brought him to seek therapy. Others have attempted to examine the structure of care as a means of making inferences about the quality of care. Process analysis for evaluating the quality of mental health care can be accomplished in three different ways: direct observation of contacts between the therapist and patient, testing of therapists with **standard**

hypothetical situation and record audit. Record audit is relatively inexpensive, does not interfere with a patient's therapy, can be performed at the convenience of an auditor, and can be done by technicians who screen records with checklists prepared by experts. In a problem-oriented record system, progress notes are kept to provide a record of patient progress and the thinking and actions of physicians regarding specific problems. This system is endorsed for two reasons: (1) it has practical assets in terms of improving patient care; and (2) it provides a basis for evaluating the quality of psychiatric care.

21/5/2 (Item 2 from file: 35)  
DIALOG(R)File 35:Dissertation Abs Online  
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01638650 ORDER NO: AAD98-29795

**AN EVENT HISTORY ANALYSIS OF THE RELATIONSHIP BETWEEN FIRST-TIME AUDIT  
REPORT UNCERTAINTY QUALIFICATIONS AND AUDITOR CHANGES: AN EXAMINATION OF  
THE EXISTENCE OF 'OPINION SHOPPING'**

Author: MEYER, MICHAEL JOHN

Degree: D.B.A.

Year: 1998

Corporate Source/Institution: MISSISSIPPI STATE UNIVERSITY (0132)

Adviser: JOHN T. RIGSBY

Source: VOLUME 59/04-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

PAGE 1244. 177 PAGES

Descriptors: BUSINESS ADMINISTRATION, ACCOUNTING

Descriptor Codes: 0272

The purpose of this study was to examine the relationship between first-time uncertainty qualifications and auditor changes. Two separate research questions were addressed: (1) Why do some companies change their auditors following the receipt of a first-time audit **report** uncertainty qualification and others do **not** ? and (2) Do companies who **change** their auditors following the receipt of a first-time audit report uncertainty qualification receive an unqualified opinion sooner than companies who also received a first-time uncertainty qualification, but did not change their auditors?

In answering the first question, nine hypothesis tests were performed focusing on the impact of variables measuring the composition and strength of the interorganizational relationship, the impact of variables measuring the strength of the shock to the interorganizational relationship, and the impact of variables measuring the composition and activity of the board of directors on the probability that a company would change its auditors following the receipt of a first-time **audit** report uncertainty qualification. The **results** suggest a significant role of interpersonal ties between boundary spanners (management, boards of directors, and auditors) and structural barriers (length of time the relationship has endured and audit difficulty) on the likelihood of an auditor change following a first-time **audit** report uncertainty qualification. The **results** also indicate that the less expected the qualification the more likely a company was to change its **auditors** . Finally, the **results** give no indication of a significant relationship between the composition and activity of the board of directors and the probability of an auditor change following the receipt of a first-time uncertainty qualification.

In answering the second research question, two separate hypothesis tests were performed. The results of the first hypothesis test indicated that it took longer (not shorter) for companies that changed their auditors to receive an unqualified opinion (the opposite of what would be expected if successful opinion shopping was taking place). The results of the second hypothesis test indicated that the companies that changed their auditors were less likely to receive an unqualified opinion, while controlling for financial condition; the opposite of what would have been necessary to provide evidence of successful opinion shopping.

21/5/8 (Item 8 from file: 35)  
DIALOG(R)File 35:Dissertation Abs Online  
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01468362 ORDER NO: AADAA-I9607428

**AUDIT QUALITY, AUDIT PRICING, AND INFORMATION ASYMMETRY: THE  
IMPLICATIONS OF PEER REVIEW**

Author: PAYNE, JEFFERY LYNN

Degree: PH.D.

Year: 1995

Corporate Source/Institution: UNIVERSITY OF FLORIDA (0070)

Chairperson: W. ROBERT KNECHEL

Source: VOLUME 56/11-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

PAGE 4455. 1 PAGES  
Descriptors: BUSINESS ADMINISTRATION, ACCOUNTING ; ECONOMICS,  
COMMERCE-BUSINESS  
Descriptor Codes: 0272; 0505

Historically, the accounting profession, through various oversight committees and boards, has promulgated standards to regulate the quality of the auditing function. One such regulation adopted by the AICPA was the creation of the peer review process. The purpose of the present study is to address the implications of the peer review process on audit demand, audit quality provision, and audit pricing within the auditing market.

Based on the economic incentives of market participants, hypotheses were developed to examine these implications. This study was conducted utilizing the experimental markets methodology to examine various institutional settings by manipulating the demand for audit quality and the availability and timing of the peer review process.

The results of this study demonstrate that the information provided by the peer review process is useful to buyers in assessing the quality of services they are receiving. The results indicate that the heterogeneous demand for audit quality creates a disparate valuation of the peer review process. In markets where audit quality was not important to buyers the ability to identify high quality providers by utilizing peer review was of minimal value. In markets where high quality **audit** services were demanded, the **information** provided by a 1-yr peer review process increased the quality of audits provided in the market. The 3-year review process currently utilized within the profession did **not** significantly **alter** the market **results** from the non-peer reviewed markets.

These results imply that the peer review process has the potential to address regulators' concerns regarding the quality of the auditing but that the timeliness with which the information is received is critical. The results of this study support the ability of the peer review process to provide quality differentiating **information** to buyers of **audit** services that improves their ability to purchase high quality auditing services, if desired.

21/5/10 (Item 10 from file: 35)  
DIALOG(R)File 35:Dissertation Abs Online  
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01411944 ORDER NO: AADAA-I9517232  
**AN ANALYSIS OF THE EFFECT OF AUDITEE-BASED, AUDITOR-BASED, AND AUDIT RISK FACTORS ON THE DISCOVERY AND REPORTING OF COMPLIANCE DEFICIENCIES AND THEIR ASSOCIATION WITH SINGLE AUDIT QUALITY**

Author: ALDHIZER, GEORGE RAYMOND  
Degree: PH.D.  
Year: 1994  
Corporate Source/Institution: TEXAS TECH UNIVERSITY (0230)  
Chairperson: JAMES C. LAMPE  
Source: VOLUME 56/01-A OF DISSERTATION ABSTRACTS INTERNATIONAL.  
PAGE 65. 191 PAGES  
Descriptors: EDUCATION, BUSINESS; BUSINESS ADMINISTRATION, ACCOUNTING  
Descriptor Codes: 0688; 0272

The Single Audit Act of 1984 was adopted by Congress to improve efficiency and effectiveness in audits of federal financial assistance administered through state and local governments (SLGs). As a result, Congress hoped to provide greater assurance as to the credibility of SLG compliance with federal assistance guidelines.

This research studied the relationships between a comprehensive set of auditee-based, auditor-based, and audit risk factors and two output indicators of single audit quality. The output indicators of quality are based on **auditor findings** included in single **audit** reports. **Data** were collected for 1987 and 1991. 1987 was selected in order to allow public accounting firms a one year grace period to become more familiar with the Act, since it did **not** take effect until 1986. **Changes** in the **results** between 1987 and 1991 were examined.

This study sent out a request to all U.S. cities with a population

size of at least 25,000. This request sought copies of the 1987 and 1991 single audit reports and a response to a questionnaire.

The data were analyzed using tobit and logit regression. The overall tobit models for 1987 and 1991 were highly statistically significant. All but one of the individual auditee-based, auditor-based and audit risk factors in 1987 were significantly associated with the output indicator. In 1991, only two factors were significantly associated with the output indicator.

The overall logit model results also were statistically significant. The coefficient signs for the eight factors were generally consistent with the tobit results. The statistical analyses added validity to the descriptive results. However, only one auditee-based factor was significantly associated with the output indicator of quality.

Several potential explanations for the previously discussed results are presented.

21/5/20 (Item 3 from file: 2)

DIALOG(R)File 2:INSPEC

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4906922 INSPEC Abstract Number: C9505-0310-001

**Title:** Information systems auditors' role in the enterprise process review

**Author(s):** Wescott, R.

**Author Affiliation:** Portland Gen. Electr. Co., OR, USA

**Journal:** EDPACS vol.22, no.9 p.1-8

**Publication Date:** March 1995 **Country of Publication:** USA

**CODEN:** EDPCDF **ISSN:** 0736-6981

**Language:** English **Document Type:** Journal Paper (JP)

**Treatment:** General, Review (G)

**Abstract:** The spread of business reengineering is driving many organizations to rethink their operational strategies. Many of these enterprises are fighting to reduce costs, to improve the quality of products, and to deliver the best possible service to customers. Often, these enterprises hope that a new operational philosophy will protect them from the impact of increasingly frenzied competition. This article is not intended to promote a sense of urgency without substance. However, astute information systems auditors realize that organizations cannot afford to wait until change occurs spontaneously. Effective change does not happen that way. Despite the need for finding radical new approaches for carrying out most of an enterprise's processes, it is naive also to believe that change will happen evenly. Information systems auditors need to display extraordinary vision and leadership to overcome the natural resistance to change, both within organizations generally and this profession. Mere incremental change in how auditing is done is not enough. This article presents one of the ways in which it appears to be desirable to reconstruct the way in which auditors do their work. (7 Refs)

**Subfile:** C

**Descriptors:** auditing; DP management; information systems; management of change; systems re-engineering

**Identifiers:** information systems auditors; enterprise process review; business reengineering; operational strategies; cost reduction; product quality; service delivery; operational philosophy; urgency; change; leadership

**Class Codes:** C0310 (EDP management)

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21/5/22 (Item 5 from file: 2)

DIALOG(R)File 2:INSPEC

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03596268 INSPEC Abstract Number: B90024041, C90023877

**Title:** An audit program for evaluating the local area network

**Author(s):** Menkus, B.

**Journal:** EDP Auditor Journal vol.3 p.31-5

**Publication Date:** 1989 **Country of Publication:** USA



CODEN: EAJOEZ ISSN: 0885-0445

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: The local area network (or LAN) will play a major role during the 1990s in the development of telecommunications. Developing an effective approach to auditing a LAN requires at least two things: understanding its unique structure and function, and recognizing that the method to be applied in examining and evaluating it is **not** simply a modification of the conventional **data** communications network **audit** approach. (0 Refs)

Subfile: B C

Descriptors: auditing; DP management; local area networks

Identifiers: LAN evaluation; LAN structure; LAN function; audit program; local area network; **data** communications network **audit** approach

Class Codes: B6210L (Computer communications); B0140 (Administration and management); C0310D (Installation management); C5620L (Local area networks)

21/5/23 (Item 6 from file: 2)

DIALOG(R) File 2: INSPEC

(c) 2003 Institution of Electrical Engineers. All rts. reserv.

03596266 INSPEC Abstract Number: C90027137

Title: WORM (for auditors)

Author(s): Alder, A.J.

Journal: EDP Auditor Journal vol.3 p.11-12

Publication Date: 1989 Country of Publication: USA

CODEN: EAJOEZ ISSN: 0885-0445

Language: English Document Type: Journal Paper (JP)

Treatment: Applications (A)

Abstract: The **audit** profession has little **comment** in the support of optical disk WORM (Write Only Read Multiple) devices. Magnetic media are, for accounting purposes, a giant step backwards from manual ledger books. Their principal characteristic is, after all, that they can be altered untraceably, which is exactly what auditors don't want! Properly implemented WORM devices solve this. They are quite simply the correct way to store **data** that should **not** be **changed** and which needs to be stored for more than a few days. Most accounting data is like that. (0 Refs)

Subfile: C

Descriptors: accounts data processing; auditing; optical disc storage

Identifiers: unalterable data storage; auditors; optical disk; WORM devices; accounting data

Class Codes: C5320K (Optical storage); C7120 (Finance)

File 347:JAPIO Oct 1976-2003/Aug(Updated 031202)

(c) 2003 JPO & JAPIO

File 350:Derwent WPIX 1963-2004/UD,UM &UP=200401

(c) 2004 Thomson Derwent

Set	Items	Description
S1	682	AUDIT??? (5N) (DATA OR INFORMATION OR CONTENT OR FINDINGS OR RESULT? ? OR NOTE? ? OR OBSERVATION? ? OR REMARK? ? OR COMMENT? ? OR ANNOTATION? ?)
S2	563007	REGULATORY() (CITATION? ? OR RULE? ?) OR REGULATION? ? OR STANDARD? ? OR GUIDELINE? ? OR REQUIREMENT? ? OR AUDIT() (CRITERIA OR CRITERION) OR PROTOCOL? ?
S3	29267	(ASSOCIAT? OR MAP????? OR CORRESPOND??? OR CORRELAT? OR MATCH??? OR RELAT??? OR REFER??? OR REFERENC???) (5N) (CITATION? ? OR REGULATION? ? OR RULE? ? OR STANDARD? ? OR GUIDELINE? ? OR REQUIREMENT? ? OR PROTOCOL? ?)
S4	52835	(CANNOT OR "NOT" OR T OR NON) (5W) (EDIT???? OR CHANG??? OR MODIF???? OR MODIFICATION OR AMEND??? OR ALTER??? OR ALTERATION? ?)
S5	3456	S4 (5N) (DATA OR INFORMATION OR CONTENT OR FINDINGS OR RESULT? ? OR NOTE? ? OR OBSERVATION? ? OR REMARK? ? OR COMMENT? ? OR ANNOTATION? ? OR RECORD? ? OR DOCUMENT? ? OR LOG? ? OR REPORT? ?)
S6	6	S1 AND S2 AND S3
S7	2	S1 AND S5
S8	42472	REGULATORY() (CITATION? ? OR RULE? ?) OR AUDIT() (CRITERIA OR CRITERION) OR PROTOCOL? ?
S9	11	S1 AND S8
S10	18	S6:S7 OR S9

10/5/2 (Item 1 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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015770514 \*\*Image available\*\*  
WPI Acc No: 2003-832716/200377  
Related WPI Acc No: 2003-900806  
XRPX Acc No: N03-665671

Transaction method in transaction processing system, involves releasing  
locks obtained for transaction after transferring information in audit  
buffer to stable buffer by managers participating in transaction  
Patent Assignee: CARLEY W J (CARL-I); CHEUNG Y (CHEU-I); GONDI A (GOND-I);  
JOHNSON C S (JOHN-I); LANKA S V (LANK-I); WISLER D J (WISL-I); WISLER T R  
(WISL-I)

Inventor: CARLEY W J; CHEUNG Y; GONDI A; JOHNSON C S; LANKA S V; WISLER D J  
; WISLER T R

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030204771	A1	20031030	US 2002375703	P	20020425	200377 B
			US 2002375783	P	20020425	
			US 2002302627	A	20021121	

Priority Applications (No Type Date): US 2002302627 A 20021121; US  
2002375703 P 20020425; US 2002375783 P 20020425

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030204771	A1		22	H02H-003/05	Provisional application US 2002375703

Provisional application US 2002375783

Abstract (Basic): US 20030204771 A1

NOVELTY - The resource managers participating in transaction are  
registered, and locks for transaction are obtained if no CPU failure  
occurs. A flush request is transmitted to CPUs hosting registered  
managers, to transfer **information** in **audit** buffer to stable buffer.  
A lock release request is transmitted to registered CPUs except the CPU  
hosting monitor after transfer operation, and operation completion is  
monitored.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for  
processing cluster.

USE - For performing transaction between processing cluster  
(claimed) in transaction processing system.

ADVANTAGE - Improves the efficiency of distributed transaction  
**protocols** by a simple process, thereby improving the performance of  
the transaction as the number of CPUs.

DESCRIPTION OF DRAWING(S) - The figure shows the structure of the  
transaction processing system.

clusters (10,12,14,16)  
internal fabric (30)  
external fabric (34)  
CPUs (18a-18f,20a- 20f,22a-22f,24a-24f)  
pp; 22 DwgNo 1/5

Title Terms: TRANSACTION; METHOD; TRANSACTION; PROCESS; SYSTEM; RELEASE;  
LOCK; OBTAIN; TRANSACTION; AFTER; TRANSFER; INFORMATION; AUDIT; BUFFER;  
STABILISED; BUFFER; PARTICIPATING; TRANSACTION

Derwent Class: T01

International Patent Class (Main): H02H-003/05

File Segment: EPI

10/5/3 (Item 2 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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015741255 \*\*Image available\*\*  
WPI Acc No: 2003-803456/200375  
XRPX Acc No: N03-644105

Custom document generating system for import/export system includes  
customs broker in electronic communication with database to generate  
customs document including transaction information

Patent Assignee: ELLIS T M (ELLI-I); LI M (LIMM-I)

Inventor: ELLIS T M; LI M

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030195815	A1	20031016	US 2002121268	A	20020412	200375 B

Priority Applications (No Type Date): US 2002121268 A 20020412

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030195815	A1		11	G06F-017/60	

Abstract (Basic): US 20030195815 A1

NOVELTY - The custom information system database which consists of transaction information identifying the purchased goods, custom clarification and valuation of the purchased goods, is connected in electronic communication with a custom broker (153). The custom broker access the database to generate custom document including transaction information. An audit module audits database using a set of audit criteria.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

(1) customs for document generating/auditing method; and

(2) customs document generating/auditing system.

USE - For import/export system.

ADVANTAGE - Generation of customs documents in conformance with import/export law can be ensured. Location of sources with repeated filing errors can be identified.

DESCRIPTION OF DRAWING(S) - The figure shows the schematic representation of interaction between participants.

pp; 11 DwgNo 1/3

Title Terms: CUSTOM; DOCUMENT; GENERATE; SYSTEM; EXPORT; SYSTEM; CUSTOM; ELECTRONIC; COMMUNICATE; DATABASE; GENERATE; CUSTOM; DOCUMENT; TRANSACTION; INFORMATION

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

10/5/4 (Item 3 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015494803 \*\*Image available\*\*

WPI Acc No: 2003-556950/200352

XPX Acc No: N03-442584

Replica database auditing method involves synchronizing results of audit application performed by replica databases, and transmitting the results back to master database for audit result verification

Patent Assignee: SOLID INFORMATION TECHNOLOGY OY (SOLI-N); HOTTI T (HOTT-I); PARKKINEN J (PARK-I)

Inventor: HOTTI T; PARKKINEN J

Number of Countries: 031 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030084073	A1	20030501	US 2001985028	A	20011101	200352 B
EP 1308859	A2	20030507	EP 2002396162	A	20021031	200352

Priority Applications (No Type Date): US 2001985028 A 20011101

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030084073	A1		16	G06F-012/00	
EP 1308859	A2	E		G06F-017/30	

Designated States (Regional): AL AT BE BG CH CY CZ DE DK EE ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI SK TR

Abstract (Basic): US 20030084073 A1

NOVELTY - An audit application defined and generated by a master database (402) is transmitted to replica databases (404, 406, 408, 410, 412) by push synchronization. The master database forces the replica databases to perform the audit application. After **auditing**, the replica database synchronizes the **results** of the **audit** and transmits the **results** back to the master database, for **audit result** verification.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (1) arrangement for establishing audit to database system;
- (2) master database server; and
- (3) replica database server.

USE - For auditing replica database such as object-oriented database managed by data processing device such as computer and workstation.

ADVANTAGE - Enables performing audit process of the replica database easily, efficiently and reliably, in a secure manner.

DESCRIPTION OF DRAWING(S) - The figure shows a block diagram of the replica database audit provision arrangement.

master database (402)

replica databases (404, 406, 048, 410, 412)

pp; 16 DwgNo 1/6

Title Terms: REPLICA; DATABASE; AUDIT; METHOD; SYNCHRONISATION; RESULT; AUDIT; APPLY; PERFORMANCE; REPLICA; TRANSMIT; RESULT; BACK; MASTER; DATABASE; AUDIT; RESULT; VERIFICATION

Derwent Class: T01

International Patent Class (Main): G06F-012/00; G06F-017/30

File Segment: EPI

10/5/5 (Item 4 from file: 350)

DIALOG(R) File 350: Derwent WPIX

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015319493 \*\*Image available\*\*

WPI Acc No: 2003-380428/200336

XRPX Acc No: N03-303831

**Environmental audit information management method for occupation heath-safety audit, involves accessing predetermined set of environmental audit protocols and associating with audit information to form audit record**

Patent Assignee: WESTON INC ROY F (WEST-N)

Inventor: SMITH L C; VIRAG P E

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030028544	A1	20030206	US 2001920073	A	20010801	200336 B

Priority Applications (No Type Date): US 2001920073 A 20010801

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030028544	A1		40	G06F-007/00	

Abstract (Basic): US 20030028544 A1

NOVELTY - A predetermined set of environmental audit **protocols** is accessed and **associated** with a received environmental **audit information** to form an environmental **audit** record.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for environmental **audit information** management system.

USE - Environmental **audit information** management for environmental heath and safety (EHSS) audit, occupational health and safety audit, etc., and also for business applications.

ADVANTAGE - Improves the quality assurance. Reduces the risk through better management tools and documentation. Reduces the cost.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart explaining the environment **audit information** management process.

pp; 40 DwgNo 1/8  
Title Terms: ENVIRONMENT; AUDIT; INFORMATION; MANAGEMENT; METHOD; OCCUPY;  
HEATH; SAFETY; AUDIT; ACCESS; PREDETERMINED; SET; ENVIRONMENT; AUDIT;  
ASSOCIATE; AUDIT; INFORMATION; FORM; AUDIT; RECORD  
Derwent Class: S05; T01  
International Patent Class (Main): G06F-007/00  
File Segment: EPI

10/5/6 (Item 5 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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015092336 \*\*Image available\*\*  
WPI Acc No: 2003-152854/200315  
XRPX Acc No: N03-120973

**Audition system for selling music CD, has company server which selects and delivers audio data corresponding to delivery requirement based on identification information included in the requirement**

Patent Assignee: KENSHICHI SHOTEN KK (KENS-N)  
Number of Countries: 001 Number of Patents: 001  
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
JP 2003005757	A	20030108	JP 2001184028	A	20010618	200315 B

Priority Applications (No Type Date): JP 2001184028 A 20010618

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
JP 2003005757	A		8	G10K-015/02	

Abstract (Basic): JP 2003005757 A

NOVELTY - A delivery management server (11) receives delivery requirement of audio data from audition terminals (40) through an internet (10). A company server (12) is provided for selecting and delivering the audio data corresponding to the requirement based on identification information included in the requirement.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is included for CD sales method.

USE - For selling music CD, etc.

ADVANTAGE - Purchase of music is performed effectively.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of the audition system. (Drawing includes non-English language text).

Internet (10)

Delivery management server (11)

Company server (12)

Audition terminals (40)

pp; 8 DwgNo 1/5

Title Terms: SYSTEM; SELL; MUSIC; CD; COMPANY; SERVE; SELECT; DELIVER;  
AUDIO; DATA; CORRESPOND; DELIVER; REQUIRE; BASED; IDENTIFY; INFORMATION;  
REQUIRE

Derwent Class: P75; P86; T01; T04; T05

International Patent Class (Main): G10K-015/02

International Patent Class (Additional): B41J-003/407; B41J-005/30;

G06F-017/60; G07G-001/12; G07G-001/14

File Segment: EPI; EngPI

10/5/9 (Item 8 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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014342610 \*\*Image available\*\*  
WPI Acc No: 2002-163313/200221  
XRPX Acc No: N02-124622

**Vending machine data auditing method for audit module, involves processing data based on externally generated commands, and determines storage necessity and location using configurable mapping tables**

Patent Assignee: MARS INC (MRSC )

Inventor: MCGARRY P J; MCIS M P

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 6339731	B1	20020115	US 99390120	A	19990903	200221 B

Priority Applications (No Type Date): US 99390120 A 19990903

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
US 6339731	B1	20	G06F-017/00	

Abstract (Basic): US 6339731 B1

NOVELTY - An audit module (30) receives externally generated commands indicating a type of vending machine data, a data processing method and a memory location for storing the **data** type in **audit** module. The **audit** module processes vending machine **data** based on the commands. Several configurable mapping tables of the module determine storage necessity and storage location of the vending machine data.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (a) Audit module;
- (b) Vending machine

USE - For audit module (claimed) in configurable vending machine (claimed).

ADVANTAGE - The vending machine data is changed dynamically without upgrading or modifying software code or replacing a semiconductor chip on audit module. This provides great amount of flexible with respective monitoring and reporting the data.

DESCRIPTION OF DRAWING(S) - The figure shows the audit module configuration.

Audit module (30)  
pp; 20 DwgNo 2/25

Title Terms: VENDING; MACHINE; DATA; AUDIT; METHOD; AUDIT; MODULE; PROCESS; DATA; BASED; EXTERNAL; GENERATE; COMMAND; DETERMINE; STORAGE; NECESSARY; LOCATE; CONFIGURATION; MAP; TABLE

Derwent Class: T01

International Patent Class (Main): G06F-017/00

File Segment: EPI

10/5/10 (Item 9 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014301605 \*\*Image available\*\*

WPI Acc No: 2002-122309/200216

XRPX Acc No: N02-091730

**Electronic virtual certification by data processing via communication network for on-line certification of professionals relative to predetermined standards when providing services**

Patent Assignee: CHOQUET C (CHOQ-I)

Inventor: CHOQUET C

Number of Countries: 095 Number of Patents: 006

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200198874	A2	20011227	WO 2001CA931	A	20010622	200216 B
CA 2311685	A1	20011222	CA 2311685	A	20000622	200216
AU 200170391	A	20020102	AU 200170391	A	20010622	200230
CA 2311685	C	20030204	CA 2311685	A	20000622	200318
EP 1295195	A2	20030326	EP 2001949147	A	20010622	200323
			WO 2001CA931	A	20010622	
US 20030172032	A1	20030911	WO 2001CA931	A	20010622	200367
			US 2003312087	A	20030418	

Priority Applications (No Type Date): CA 2311685 A 20000622

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
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WO 200198874 A2 E 39 G06F-001/00

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA  
CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN  
IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ  
PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW  
Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GH GM GR IE  
IT KE LS LU MC MW MZ NL PT SD SE SL SZ TR TZ UG ZW

CA 2311685 A1 E H04L-009/32

AU 200170391 A G06F-001/00 Based on patent WO 200198874

CA 2311685 C E H04L-009/32

EP 1295195 A2 E G06F-001/00 Based on patent WO 200198874

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT  
LI LT LU LV MC MK NL PT RO SE SI TR

US 20030172032 A1 G06F-017/60

Abstract (Basic): WO 200198874 A2

NOVELTY - A processor (1) receives all data from member sites (4) connected to the network and information from an open source (2) may be used to improve content of the virtual database, while a notarization database (3) holds the content of authorization steps of certification between the processor and the members. The processor computes a notarization process for certification steps using **audited information** from the members and controls access to selected elements of the records.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for

(1) on-line certification services.

(2) a member site.

(3) a data processing system.

(4) a method of determining conformity of business process steps.

USE - Electronic virtual certification via a communication network.

DESCRIPTION OF DRAWING(S) - The drawing shows the system

Processor (1)

Member sites (4)

Virtual database (3)

Open source (2)

pp; 39 DwgNo 1/10

Title Terms: ELECTRONIC; VIRTUAL; CERTIFY; DATA; PROCESS; COMMUNICATE;

NETWORK; LINE; CERTIFY; RELATIVE; PREDETERMINED; **STANDARD** ; SERVICE

Derwent Class: T01

International Patent Class (Main): G06F-001/00; G06F-017/60; H04L-009/32

International Patent Class (Additional): G06F-017/30; H04L-012/16

File Segment: EPI

10/5/11 (Item 10 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014141096 \*\*Image available\*\*

WPI Acc No: 2001-625307/200172

XRPX Acc No: N01-466066

**Transferring ownership of digital tokens in a financial transaction**

**between parties, each token comprising value and ownership data stored**

Patent Assignee: OAKINGTON TECHNOLOGIES LTD (OAKI-N); OAKINGTON CORP PLC (OAKI-N)

Inventor: DAWE P J; MILNER J M

Number of Countries: 094 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200144968	A2	20010621	WO 2000GB4585	A	20001130	200172 B
AU 200115395	A	20010625	AU 200115395	A	20001130	200172

Priority Applications (No Type Date): GB 20005714 A 20000309; GB 9928523 A 19991202

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200144968 A2 E 63 G06F-017/00



Designated States (National): AE AG AL AM AT AU AZ BA BG BR BY BZ CA  
CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP  
KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT  
RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW  
Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR  
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW  
AU 200115395 A G06F-017/00 Based on patent WO 200144968

Abstract (Basic): WO 200144968 A2

NOVELTY - First party transfers to the token store data identifying change of ownership of tokens to a second party, and the token store updates the ownership data of the tokens to reflect transfer of ownership of the tokens to the second party.

DETAILED DESCRIPTION - In a digital token transaction system, token stored in token store comprises value and ownership data, with the ownership data identifying a first device. Ownership transfer signal is transmitted from first device to the token store. Transfer signal identifying a second device, at the token store, modifies the token ownership data in response to the transfer signal so that it refers to the second device. A purse database is included, adapted to store details of purses (A,B) registered with the transaction system and to receive a portion of the transaction message relating to authentication information and to attempt to authenticate the identity of the first purse.

USE - In financial transactions based on notified changes of ownership of statically held tokens.

ADVANTAGE - Invention prevents collection of **auditing** or profiling **data** for a particular individual. The tokens may incorporate a serial number, which corresponds to the value of the token. There is no risk of spending the tokens twice by a given individual, as in the case of DigiCash (RTM). There is no need to retain a list of all tokens, which are ever redeemed, hence there is no need to encrypt the tokens and copies of the tokens can be passed to and between electronic purses of users of the system en-claire. Computationally intensive process of Public Key Cryptography may be avoided, as may be the process of decommissioning tokens after each transaction, followed by re-minting new tokens, thus reducing complexity and cost of the system of present invention. Similarly, there is no need to protect the tokens of the present invention with watermarking or digital signature techniques. Fraudulent spending of token or re-assignment of ownership is checked by separating tasks of authorising spending party to a transaction and authorising the value to be transferred in a transaction, using remote or geographically separate servers, purse registers (PR) and token registers (TR), respectively. Thus security of system is increased over system in which two functions are performed by a single entity. System can be easily scaled in order to provide extra system capacity for further users, by the addition of further purses and tokens. Many currencies and securities can be represented by tokens of the invention, of which **protocols** allow secure and economic use of in making micro and macro-payments. Each purse may communicate with the servers forming part of the system without requiring encryption techniques.

DESCRIPTION OF DRAWING(S) - Drawing shows a schematic block diagram illustrating entities making up the system of the first embodiment of the invention.

Purses (A,B)

Purse register (PR)

Token register. (TR)

pp; 63 DwgNo 1/8

Title Terms: TRANSFER; DIGITAL; TOKEN; FINANCIAL; TRANSACTION; PARTY; TOKEN  
; COMPRISE; VALUE; DATA; STORAGE

Derwent Class: T01; T05; W01

International Patent Class (Main): G06F-017/00

File Segment: EPI

013098803    \*\*Image available\*\*  
WPI Acc No: 2000-270675/200023  
XRPX Acc No: N00-202745

**Generating of a verifiable audit record using apparatus for verifying an electronic transaction by associating data with an electronic document**

Patent Assignee: PEHA J M (PEHA-I)  
Inventor: PEHA J M  
Number of Countries: 088    Number of Patents: 003  
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200011619	A1	20000302	WO 99US18935	A	19990820	200023 B
AU 9955737	A	20000314	AU 9955737	A	19990820	200031
US 20030023851	A1	20030130	US 98138175	A	19980821	200311
			US 2002161083	A	20020531	

Priority Applications (No Type Date): US 98138175 A 19980821; US 2002161083 A 20020531

**Patent Details:**

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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WO 200011619	A1	E	31	G07D-007/00	
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Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SL SZ UG ZW

AU 9955737	A			G07D-007/00	Based on patent WO 200011619
US 20030023851	A1			H04L-009/00	Cont of application US 98138175

**Abstract (Basic): WO 200011619 A1**

NOVELTY - An auditor (14) retrieves a verifiable audit record (22) from a notary (18) and compares it to its putatively associated auditable document (26) in order to verify it is an accurate representation. Because the record contains author verification **information** (28), the **auditor** is able to retrieve all the verifiable audit records that were submitted to a particular author (10). The associated data include information for verifying that a **document** has **not** been **altered**.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for methods for performing an audit, for verifying a notary has not changed a message digest, for ensuring integrity of data, for collecting all documents from an author and for verifying a document.

USE - Verifying electronic transactions and performing an audit.

ADVANTAGE - Permitting retrieval of data from a collection based on its verified ownership.

DESCRIPTION OF DRAWING(S) - The drawing is a flow drawing depicting creation of an audit record, its submission to a notary and its subsequent auditing

Auditor (14)  
Verifiable audit record (22)  
Notary (18)  
Auditable document (26)  
Author verification information (28)  
Author (10)  
pp; 31 DwgNo 1/7

Title Terms: GENERATE; AUDIT; RECORD; APPARATUS; VERIFICATION; ELECTRONIC; TRANSACTION; ASSOCIATE; DATA; ELECTRONIC; DOCUMENT

Derwent Class: T05; W01

International Patent Class (Main): G07D-007/00; H04L-009/00

International Patent Class (Additional): G07F-007/12; H04L-009/32

File Segment: EPI

10/5/15    (Item 14 from file: 350)

DIALOG(R)File 350:Derwent WPIX

009693220      \*\*Image available\*\*

WPI Acc No: 1993-386774/199348

XRPX Acc No: N93-298644

**Management tool for auditing computer database - in which auditor selects user-defined data sample, presents it to user who determines errors and feeds them back to auditor, and indicates which errors are user errors**

Patent Assignee: KLEIN L C (KLEI-I)

Inventor: KLEIN L C

Number of Countries: 019    Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9323818	A1	19931125	WO 93US4371	A	19930507	199348    B
US 5404509	A	19950404	US 92880397	A	19920508	199519

Priority Applications (No Type Date): US 92880397 A 19920508

Cited Patents: 3.Jnl.Ref; US 4500964; US 4933848; US 5058113

Patent Details:

Patent No    Kind    Lan    Pg    Main    IPC    Filing    Notes

WO 9323818    A1    E    81    G06F-015/401

Designated States (National): CA JP

Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LU MC NL

PT SE

US 5404509    A    31    G06F-015/401

Abstract (Basic): WO 9323818 A

The management tool consists of a project manager (110), with an **audit criteria** utility (122), an auditor (112), a sample receiver (128), and an audit reporting and analysis utility (130). The project manager **audit criteria** utility comprises a receiver for receiving **audit criteria** and a unit for defining a project (188) according to the **audit criteria**, while the auditor initiates an audit and generates a sample which meets the **audit criteria**.

The sample reviewer presents the sample to the user (116) and receives feedback on the number of errors in the sample, while the audit reporting and analysis utility calculates an **audit result** from the feedback and presents this result to the user.

ADVANTAGE - Provides database audit capabilities that surpass those offered by professional **information auditors**.

Dwg.1/16

Title Terms: MANAGEMENT; TOOL; AUDIT; COMPUTER; DATABASE; SELECT; USER;

DEFINE; DATA; SAMPLE; PRESENT; USER; DETERMINE; ERROR; FEED; BACK;

INDICATE; ERROR; USER; ERROR

Derwent Class: T01

International Patent Class (Main): G06F-015/401

File Segment: EPI

10/5/16      (Item 15 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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009239043      \*\*Image available\*\*

WPI Acc No: 1992-366464/199244

XRPX Acc No: N92-279280

**Perception system for non-destructive evaluation information - presents test data to operator using combination of visual display and selected acoustic characteristics**

Patent Assignee: SOUTHWEST RES INST (SWRI )

Inventor: CERVANTES R A; HOLT A E; POLK K D

Number of Countries: 037    Number of Patents: 008

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9217880	A1	19921015	WO 92US2650	A	19920401	199244    B
AU 9217859	A	19921102	AU 9217859	A	19920401	199305
			WO 92US2650	A	19920401	
US 5285521	A	19940208	US 91678741	A	19910401	199407

JP 6506539	W	19940	JP 92510633	A	19920401	99433
			WO 92US2650	A	19920401	
EP 625278	A1	19941123	EP 92910551	A	19920401	199445
			WO 92US2650	A	19920401	
EP 625278	B1	19990818	EP 92910551	A	19920401	199937
			WO 92US2650	A	19920401	
DE 69229836	E	19990923	DE 629836	A	19920401	199945
			EP 92910551	A	19920401	
			WO 92US2650	A	19920401	
KR 204367	B1	19990615	WO 92US2650	A	19920401	200063
			KR 93702935	A	19930928	

Priority Applications (No Type Date): US 91678741 A 19910401  
 Cited Patents: US 4088030; US 4098130; US 4193306; US 4269065  
 Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 9217880	A1	E	32	G10L-005/02	
Designated States (National): AT AU BB BG BR CA CH CS DE DK ES FI GB HU					
JP KP KR LK LU MG MN MW NL NO PL RO RU SD SE					
Designated States (Regional): AT BE CH DE DK ES FR GB GR IT LU MC NL OA					
SE					
AU 9217859	A			G10L-005/02	Based on patent WO 9217880
US 5285521	A		12	G10L-009/00	
JP 6506539	W		12	G01N-029/22	Based on patent WO 9217880
EP 625278	A1	E	2	G10L-005/02	Based on patent WO 9217880
Designated States (Regional): AT BE CH DE DK ES FR GB IT LI NL SE					
EP 625278	B1	E		G10L-005/02	Based on patent WO 9217880
Designated States (Regional): AT BE CH DE DK ES FR GB IT LI NL SE					
DE 69229836	E			G10L-005/02	Based on patent EP 625278
Based on patent WO 9217880					
KR 204367	B1			G10L-013/00	

Abstract (Basic): WO 9217880 A

The appts. for non-destructive evaluation of test material (10) includes an ultrasonic transmitter/receiver (14) connected to a transducer (12) which transmits an ultrasonic or electromagnetic signal and receives a return signal from the test material. The return signals are processed and shown on a visual display (16).

They are also digitised (18) and compared with **reference standards** (20). The signal processor provides an audio signal output (22,24,26), determining the most appropriate acoustic characteristic e.g. pitch, loudness, to allow the operator to interpret the results.

ADVANTAGE - Small and rapid changes in signal information less easily overlooked using combination of visual and audible information.

Dwg.1/7

Title Terms: PERCEPTION; SYSTEM; NON; DESTROY; EVALUATE; INFORMATION; PRESENT; TEST; DATA; OPERATE; COMBINATION; VISUAL; DISPLAY; SELECT; ACOUSTIC; CHARACTERISTIC

Derwent Class: P86; S02; S03; W04

International Patent Class (Main): G01N-029/22; G10L-005/02; G10L-009/00; G10L-013/00

International Patent Class (Additional): G01N-022/04; G01N-029/06

File Segment: EPI; EngPI

10/5/18 (Item 17 from file: 350)  
 DIALOG(R)File 350:Derwent WPIX  
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004044631

WPI Acc No: 1984-190173/198431

XRPX Acc No: N84-142138

**Non-destructive fruit evaluation method - by measurement of nuclear magnetic resonance and comparison with quality - related standard**

Patent Assignee: GIFU DAIGAKU-CHO (GIFU-N); UNIV GIFU (UYGI-N)

Inventor: AKIMOTO K

Number of Countries: 004 Number of Patents: 006

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
DE 3402303	A	19840726	DE 3402303	A	19840124	198431 B
GB 2135059	A	19840822	GB 841058	A	19840114	198434
JP 59136643	A	19840806	JP 8311144	A	19830126	198437
JP 60010160	A	19850119				198509
GB 2135059	B	19860903	GB 841058	A	19840116	198636
CA 1212145	A	19860930				198644

Priority Applications (No Type Date): JP 83116869 A 19830630; JP 8311144 A 19830126

#### Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
DE 3402303	A		37		

Abstract (Basic): GB 2135059 A

A method for non-destructively grading fruits, including the steps of: measuring the intensity of the nuclear magnetic resonance signal from either sugar or an organic acid contained in the fruits, and referring the measured values so obtained to a predetermined **standard** value to assess the quality of the fruits.

DE 3402303 A

The intensity of a nuclear magnetic resonance signal is measured for an atomic nucleus whose spin quantum number is not zero in respect of sugar and/or an organic acid within the fruit. The measured value is compared with a **standard** quality value.

The measurement value can be calibrated in various ways, including by use of tetramethylsilane or a predefined regression curve. For fruit with a known water content a nuclear magnetic resonance spectrum is measured and compared with a spectrum corresp. to the water content.

USES/ADVANTAGES - Classification by quality using the measured sugar **content** or **audity** as the criterion. Quality is measured indirectly with relative ease. A whole group of fruits can be individually examined relatively quickly.

0/1

Title Terms: NON; DESTROY; FRUIT; EVALUATE; METHOD; MEASURE; NUCLEAR; MAGNETIC; RESONANCE; COMPARE; QUALITY; RELATED; **STANDARD**

Index Terms/Additional Words: NMR

Derwent Class: S03

International Patent Class (Additional): G01N-024/08; G01N-033/02

File Segment: EPI

File 347:JAPIO Oct 1976-2003/Aug(Updated 031202)

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File 350:Derwent WPIX 1963-2004/UD,UM &UP=200401

(c) 2004 Thomson Derwent

File 348:EUROPEAN PATENTS 1978-2003/Dec W02

(c) 2003 European Patent Office

File 349:PCT FULLTEXT 1979-2002/UB=20031225,UT=20031218

(c) 2003 WIPO/Univentio

Set	Items	Description
S1	1403	AU={VIRAG, P? OR VIRAG P? OR SMITH L? OR SMITH, L?}
S2	2	S1 AND AUDIT AND PROTOCOL?
[S3	1	S2 AND IC=G06F

3/5/1 (Item 1 from Page: 350)  
DIALOG(R) File 350:Derwent WPIX  
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015319493 \*\*Image available\*\*

WPI Acc No: 2003-380428/200336

XRPX Acc No: N03-303831

Environmental audit information management method for occupation  
health-safety audit , involves accessing predetermined set of  
environmental audit protocols and associating with audit  
information to form audit record

Patent Assignee: WESTON INC ROY F (WEST-N)

Inventor: SMITH L C ; VIRAG P E

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030028544	A1	20030206	US 2001920073	A	20010801	200336 B

Priority Applications (No Type Date): US 2001920073 A 20010801

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030028544	A1		40	G06F-007/00	

Abstract (Basic): US 20030028544 A1

NOVELTY - A predetermined set of environmental audit protocols  
is accessed and associated with a received environmental audit  
information to form an environmental audit record.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for  
environmental audit information management system.

USE - Environmental audit information management for  
environmental health and safety (EHSS) audit , occupational health and  
safety audit , etc., and also for business applications.

ADVANTAGE - Improves the quality assurance. Reduces the risk  
through better management tools and documentation. Reduces the cost.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart  
explaining the environment audit information management process.

pp; 40 DwgNo 1/8

Title Terms: ENVIRONMENT; AUDIT ; INFORMATION; MANAGEMENT; METHOD; OCCUPY;  
HEALTH; SAFETY; AUDIT ; ACCESS; PREDETERMINED; SET; ENVIRONMENT; AUDIT ;  
ASSOCIATE; AUDIT ; INFORMATION; FORM; AUDIT ; RECORD

Derwent Class: S05; T01

International Patent Class (Main): G06F-007/00

File Segment: EPI

File 348:EUROPEAN PATENT 1978-2003/Dec W02

(c) 2003 European Patent Office

File 349:PCT FULLTEXT 1979-2002/UB=20031225,UT=20031218

(c) 2003 WIPO/Univentio

Set	Items	Description
S1	3443	AUDIT??? (5N) (DATA OR INFORMATION OR CONTENT OR FINDINGS OR RESULT? ? OR NOTE? ? OR OBSERVATION? ? OR REMARK? ? OR COMMENT? ? OR ANNOTATION? ?)
S2	686697	REGULATORY() (CITATION? ? OR RULE? ?) OR REGULATION? ? OR STANDARD? ? OR GUIDELINE? ? OR REQUIREMENT? ? OR AUDIT() (CRITERIA OR CRITERION) OR PROTOCOL? ?
S3	107732	(ASSOCIAT? OR MAP????? OR CORRESPOND??? OR CORRELAT? OR MATCH??? OR RELAT??? OR REFER??? OR REFERENC???) (5N) (CITATION? ? OR REGULATION? ? OR RULE? ? OR STANDARD? ? OR GUIDELINE? ? OR REQUIREMENT? ? OR PROTOCOL? ?)
S4	169390	(CANNOT OR "NOT" OR T OR NON) (5W) (EDIT???? OR CHANG??? OR -MODIF???? OR MODIFICATION OR AMEND??? OR ALTER??? OR ALTERATION? ?)
S5	19974	S4 (5N) (DATA OR INFORMATION OR CONTENT OR FINDINGS OR RESULT? ? OR NOTE? ? OR OBSERVATION? ? OR REMARK? ? OR COMMENT? ? -OR ANNOTATION? ? OR RECORD? ? OR DOCUMENT? ? OR LOG? ? OR REPORT? ?)
S6	81	S1(S)S2(S)S3
S7	66	S6 AND IC=G06F
S8	67	S1(50N)S2(50N)S3
S9	53	S8 AND IC=G06F
S10	67	S1(S)S5
S11	40	S1(100N)S5



9/5,K/1 (Item 1 from file: 348)  
DIALOG(R) File 348:EUROPEAN PATENTS  
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00750834

System and method for determining whether a software package conforms to packaging rules and requirements

System und Verfahren zum Feststellen, ob ein Softwarepaket den Regeln und Vorschriften des Packaging entspricht

Systeme et methode pour determiner si un progiciel se conforme aux regles et revendications d'assemblage

PATENT ASSIGNEE:

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PATENT (CC, No, Kind, Date): EP 707264 A2 960417 (Basic)

EP 707264 A3 970312

APPLICATION (CC, No, Date): EP 95307265 951012;

PRIORITY (CC, No, Date): US 322604 941013

DESIGNATED STATES: DE; FR; GB; IT; SE

INTERNATIONAL PATENT CLASS: G06F-009/44 ; G06F-009/445

ABSTRACT EP 707264 A2

A system and method for auditing software packages in a multi-release environment is provided. The audit system reads one or more external files that specify which packaging rules apply to a particular target software package. The audit system also reads package information files of the target software package. The package information files specify the form and content of the target software package. The audit system analyzes the information contained in the package information files to determine whether the target software package conforms with the specified packaging rules. The packaging rules may include rules relating to conflicts between software packages. Under these circumstances, the audit system retrieves information about the software packages against which the target software package is to be compared before performing the audit. The audit system may compare the target software package against another software package, or against a database which contains information about numerous other packages. The audit system checks the detected packaging rule violations against exceptions specified in the external files. Rule violations that are permitted by the specified exceptions are filtered from the error list. The audit system generates an audit report that indicates which rules, if any, were violated, and the severity level of each rule violation. The audit system may optionally generate exception information to be used in subsequent audit operations based on all or portions of the audit report. If the target software package passes the audit operation, the database may be updated to reflect the target software package. (see image in original document)

ABSTRACT WORD COUNT: 279

LEGAL STATUS (Type, Pub Date, Kind, Text):

Application: 960417 A2 Published application (Alwith Search Report ;A2without Search Report)

Search Report: 970312 A3 Separate publication of the European or International search report

Examination: 971001 A2 Date of filing of request for examination: 970804

Withdrawal: 980617 A2 Date on which the European patent application was withdrawn: 980421

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	EPAB96	1295
SPEC A	(English)	EPAB96	8829
Total word count - document A			10124
Total word count - document B			0
Total word count - documents A + B			10124

INTERNATIONAL PATENT CLASS: G06F-009/44 ...

... G06F-009/445

...SPECIFICATION line consists of an audit rule identifier which identifies an applicable audit rule. Preferably, the audit rule identifiers are constructed to convey information about the rule to which they correspond. For example, each portion of the audit rule identifier "pkgmap(underscore)basename(underscore)ip(underscore)rt(underscore)1" conveys information about the corresponding rule. The "pkgmap" portion of the audit rule identifier indicates the package information file that contains information required to determine whether a package conforms to the rule. The "basename" portion of the audit rule identifier indicates that the corresponding rule relates to the basename of files within the target package. The "ip" portion of the audit rule identifier indicates that the rule is an inter-package rule. The "n" portion of the audit rule identifier indicates the source of the corresponding rule. For example, "rt" specifies rules established by a particular group ("release technology group") within a company, "abi" specifies an industry-standard rule, "sun" specifies a company-specific rule, etc. The audit rule identifier ends in a number to distinguish between two or more rules in which...

9/5,K/11 (Item 9 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00943767 \*\*Image available\*\*

SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR A SUPPLY CHAIN MANAGEMENT  
SYSTEME, PROCEDE ET PRODUIT PROGRAMME INFORMATIQUE CONCUS POUR UNE GESTION  
DE CHAINE D'APPROVISIONNEMENT

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200277917 A1 20021003 (WO 0277917)

Application: WO 2002US8287 20020319 (PCT/WO US0208287)

Priority Application: US 2001815580 20010323; US 2001815598 20010323; US  
2001816565 20010323; US 2001816488 20010323; US 2001816426 20010323; US  
2001815899 20010323; US 2001816507 20010323; US 2001816422 20010323; US  
2001816269 20010323; US 2001816491 20010323; US 2001816101 20010323; US  
2001816231 20010323; US 2001816421 20010323; US 2001816069 20010323; US  
2001816296 20010323; US 2001816249 20010323; US 2001816121 20010323; US  
2001815668 20010323; US 2001816187 20010323; US 2001815490 20010323; US  
2001816471 20010323; US 2001815606 20010323; US 2001815777 20010323; US  
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2001816543 20010323; US 2001816349 20010323; US 2001816331 20010323; US  
2001816167 20010323; US 2001816881 20010323; US 2001816536 20010323; US  
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2001815715 20010323; US 2001815989 20010323; US 2001816561 20010323; US  
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2001816388 20010323; US 2001816358 20010323; US 2001815729 20010323; US  
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2001816503 20010323; US 2001816160 20010323; US 2001815893 20010323; US  
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2001815973 20010323; US 2001815845 20010323; US 2001816314 20010323; US  
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2001816424 20010323; US 2001816564 20010323; US 2001816455 20010323; US  
2001816412 20010323; US 2001815590 20010323; US 2001816555 20010323; US  
2001816560 20010323; US 2001816427 20010323; US 2001834600 20010413; US  
2001834838 20010413; US 2001834924 20010413; US 2001834465 20010413

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU  
CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP  
KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO  
RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06K-015/00

International Patent Class: G07B-015/02; **G06F-017/60**

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 114107

#### English Abstract

A system, method and computer program product (100) are disclosed for collaborative forecasting utilizing a supply chain management framework. A global forecast is identified for a plurality of outlets of a supply chain and then stored in memory. The global forecast (4400) is subsequently transmitted to each of the outlets utilizing a network. Feedback relating to the global forecast is received from the outlets utilizing the network and stored in memory. The global forecast is then altered based on the feedback and the supply chain is managed utilizing the altered global forecast. Many other embodiments and aspects are disclosed and claimed.

#### French Abstract

L'invention concerne un systeme, un procede et un produit programme informatique (100) concus pour des previsions collaboratives au moyen d'un cadre de gestion de chaine d'approvisionnement. Une prevision globale est identifiee pour une pluralite de points de vente d'une chaine d'approvisionnement puis est stockee en memoire. La prevision globale est ensuite transmise a chacun des points vente par le biais d'un reseau (4400). Une retroaction relative a la prevision globale est recue des points de vente au moyen du reseau puis est stockee en memoire. La prevision globale est alors modifiee en fonction de la retroaction et la chaine d'approvisionnement est geree a l'aide de la prevision globale modifiee. Plusieurs autres modes de realisation et aspects sont exposes et revendiques.

Legal Status (Type, Date, Text)

Publication 20021003 A1 With international search report.

Publication 20021003 A1 Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.

Examination 20030220 Request for preliminary examination prior to end of 19th month from priority date

...International Patent Class: **G06F-017/60**

Fulltext Availability:

Detailed Description

Detailed Description

... X

Show me who is using the system for my - X  
organization  
Who has done what to my data? X  
I want reporting functionality for **audits** . X  
We should be able to detect that something X  
isn't right  
We want an **audit** trail of some sort X  
Want to track information flow X  
Need to know who has access X  
Need to have detailed information available to...

9/5,K/12 (Item 10 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00931203 \*\*Image available\*\*

**METHOD AND SYSTEM FOR FACILITATING ASSESSMENTS OF BUSINESS PARTIES**

**PROCEDE ET SYSTEME PERMETTANT D'EFFECTUER DES ANALYSES D'ENTITES  
COMMERCIALES**

Patent Applicant/Assignee:

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BAKES Frank Heinrich, 8814 Castleford Lane, Cincinnati, OH 45242, US,

Legal Representative:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200265232 A2 20020822 (WO 0265232)

Application: WO 2001US51000 20011109 (PCT/WO US0151000)

Priority Application: US 2000709963 20001110

Designated States: AE AG AL AM AT (utility model) AT AU AZ BA BB BG BR BY

BZ CA CH CN CO CR CU CZ (utility model) CZ DE (utility model) DE DK

(utility model) DK DM DZ EC EE (utility model) EE ES FI (utility model)

FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU

LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU SD SE SG SI SK (utility

model) SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: **G06F**

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 14124

English Abstract

A method and system for conducting assessments of business parties and generating data therefrom. According to one embodiment, the user provides assessment characteristic inputs regarding the assessment type, depth, and/or objectives to a computer program which, in response to the inputs, selects and displays pertinent requirements to be utilized during the assessment. Screens are provided to display the requirements, and the categories and subcategories related thereto, in a hierarchical fashion. The description or standard for each requirement is displayed and input boxes and/or buttons are provided to allow the user to enter ratings and/or comments or observations regarding each requirement. Such ratings and comments can also be provided for each overall category, and suggested ratings can be automatically calculated based upon the ratings given to the requirements within the categories. For convenience, a tablet PC or other handheld computer can be utilized to execute the

program, and voice recognition technology can be

#### French Abstract

L'invention concerne un procede et un systeme permettant d'effectuer des evaluations d'entites commerciales et de generer des donnees a partir desdites evaluations. Dans un mode de realisation, l'utilisateur fournit des entrees de caracteristiques d'evaluation concernant le type, le niveau et/ou les objetctifs d'evaluation a un programme informatique qui, en reponse aux entrees, selectionne et affiche les exigences pertinentes a utiliser au cours de l'evaluation. L'invention concerne des ecrans pour afficher d'une maniere hierarchique les exigences et les categories et sous-categories liees a celles-ci. La description ou la norme pour chaque exigence est affichee et des cases d'entree et/ou des boutons permettent a l'utilisateur d'entrer des notes et/ou des commentaires ou observations concernant chaque exigence. Ces notes et commentaires peuvent egalement s'appliquer a chaque categorie generale, et des notes proposees peuvent automatiquement etre calculees sur la base des notes donnees aux exigences a l'interieur des categories. Pour des raisons pratiques, un PC tablette ou tout autre ordinateur portatif peut etre utilise pour fournir les commentaires. Une fois que l'evaluation est terminee, des rapports peuvent automatiquement etre generes sur la base des donnees d'evaluation enregistrees. Ces rapports peuvent etre telecharges a un referentiel central auquel plusieurs utilisateurs peuvent acceder. Les donnees provenant de l'evaluation peuvent, par ailleurs, etre ajoutees a une base de donnees de compilation, et un resume, un classement et autres analyses de la base de donnees de compilation peuvent automatiquement etre effectues afin d'identifier des problemes majeurs, des tendances, des ameliorations et autres.

#### Legal Status (Type, Date, Text)

Publication 20020822 A2 Without international search report and to be republished upon receipt of that report.

Correction 20031030 Corrections of entry in Section 1: Due to a technical problem at the time of international publication, some information was missing (81). The missing information now appears in the corrected version.

Republication 20031030 A2 Without international search report and to be republished upon receipt of that report.

#### Main International Patent Class: G06F

#### Fulltext Availability:

Detailed Description

#### Detailed Description

... previous assessments made by the same auditor.

The lack of detail provided in any written descriptions which may be utilized for the various categories and **requirements** allows for frequent inconsistency as well as widespread subjectivity from assessment to assessment. Accordingly, it can be very difficult to compare assessments of various business...

...a party's goods or services should continue to be utilized, and whether a party is making improvements in any of the assessed categories.

The **comments** and ratings provided by **auditors** in conventional assessments are usually very text intensive as well. Accordingly, during such assessments, the **auditor** usually takes **notes** on paper or dictates ratings and comments into a conventional dictaphone. Once all the categories and **requirements** have been evaluated, the **auditor** then utilizes the **notes** and recordings to prepare a report regarding the business party.

However, preparation of such a report can be time consuming and inefficient, because organizing and...

...notes can be complex. Moreover, in order to make the report

understandable, the auditor usually must spend time to reiterate each assessment category and the **requirements relating** to that category before providing the evaluation for that category. As can be understood, such reiteration can be quite time consuming and inefficient, especially when there are a number of assessment categories and **requirements**. Finally, the report format, **content**, and style utilized by various **auditors** can vary, compounding the difficulty in quickly comparing and reviewing multiple assessments.

Assigning ratings for each category which is assessed can also be subjective.

While the auditor may identify many deviations regarding the various **requirements**

3  
within the category, the business importance of each specific **requirement** and its deviations ...upon these inputs, a subset 278 of the relevant requirements is automatically selected and/or saved, and then displayed to the user by selecting these **requirements** having identifiers 276 corresponding to the setup input. The user then enters ratings and/or observations with respect to the various **requirements**. In addition,

30  
ratings and observations can be made with respect to the various categories of the various **requirements** in the subset 278, as well as an overall rating for the assessment. The ratings and observations can be stored, along with the **requirements** to which they relate.

Then, from the stored data, a report 281 can be automatically generated showing the categories and **requirements** and the ratings/observations regarding each, such as by **matching** identifiers for **requirements** and categories with descriptions **relating** thereto.

The data can be automatically summarized, sorted, analyzed, and formatted as desired in the report 281. Each report 281 from each assessment can then...

...by using electronic devices in various remote locations. Moreover, the data can be exported to a central data repository 283 where it is combined with **data** from other **audits**. This **data** repository 283 can be accessed by users for electronically sorting, searching, summarizing and analyzing the data of all assessments, as well as identifying critical issues...

9/5,K/13 (Item 11 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00914745 \*\*Image available\*\*

CONTEXT MANAGEMENT WITH AUDIT CAPABILITY

GESTION DE CONTEXTE AVEC CAPACITE DE VERIFICATION

Patent Applicant/Assignee:

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FUSARI David, 331 Riverbend Drive, Groton, MA 01450, US,

Legal Representative:

ENGELSON Gary S (agent), Wolf, Greenfield & Sacks, P.C., 600 Atlantic

Avenue, Boston, MA 02210, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200248865 A2-A3 20020620 (WO 0248865)

Application: WO 2001US47877 20011211 (PCT/WO US0147877)

Priority Application: US 2000254753 20001211

Designated States: CA NZ

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

Main International Patent Class: G06F-009/44

International Patent Class: G06F-009/46  
Publication Language: English  
Filing Language: English  
Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 10763

#### English Abstract

A context management framework is given that provides in various embodiments, numerous advantages over previously-existing systems. In some instances, an architecture having a centralized storage location coupled to a context manager is provided for servicing and logging context events from a plurality of sources. This type of system uses a synchronization scheme to perform orderly storage and retrieval of data to and from the centralized storage location. In other instances, information stored in the centralized storage location or signals from the context manager are used to achieve an auditing capacity for reviewing and acting on context data events and gestures. Selective blocking or allowance of impending context gestures or data-access events is accomplished based on a rule set or lookup table containing rules or other data to make such access-control decisions. Access to private data and other security measures may thus be implemented using the teachings presented herein. Furthermore, a communication paradigm, using a Web-proxy, which identifies ordinarily-unidentified applications to a concert manager is provided according to some embodiments of the invention.

#### French Abstract

L'invention concerne un cadre de gestion de contexte presentant, dans divers modes de realisation, de nombreux avantages par rapport aux systemes preexistants. Dans certains cas, une architecture comprenant un emplacement de stockage centralise couple a un gestionnaire de contexte permet de gerer et d'enregistrer des evenements de contexte en provenance d'une pluralite de sources. Ce type de systeme utilise un programme de synchronisation destine a effectuer, de maniere ordonnee, un stockage et une extraction de donnees dans et depuis cet emplacement de stockage centralise. Dans d'autres cas, les informations stockees dans l'emplacement de stockage centralise ou les signaux provenant du gestionnaire de contexte sont utilises pour obtenir une capacite de verification permettant d'analyser les gestes et les evenements de donnees contextuelles et d'agir sur ceux-ci. On realise un blocage selectif ou l'on accorde l'autorisation d'empecher des gestes de contexte ou des evenements d'accès aux donnees sur la base d'un ensemble de regles ou d'une table de recherche contenant des regles ou d'autres donnees permettant de prendre ces decisions de controle d'accès. L'accès a des donnees privees et d'autres mesures de securite peuvent ainsi etre mis en oeuvre au moyen des apprentissages presentes dans la description. Par ailleurs, dans certains modes de realisation, l'invention comprend un paradigme de communication utilisant un mandataire Web qui identifie les applications non identifiees ordinairement a un gestionnaire de contexte.

#### Legal Status (Type, Date, Text)

Publication 20020620 A2 Without international search report and to be republished upon receipt of that report.  
Examination 20021227 Request for preliminary examination prior to end of 19th month from priority date  
Search Rpt 20030424 Late publication of international search report  
Republication 20030424 A3 With international search report.

Main International Patent Class: G06F-009/44  
International Patent Class: G06F-009/46  
Fulltext Availability:  
Claims

#### Claim

... to (C):

(D) collecting point-of-use data identifying a point-of-use machine.



.33 The method of claim further comprising:  
(D) evaluating the **audit data** to make an assessment of compliance with a set of **regulations**.

34 The method of claim 3 3 wherein the set of **regulations** **corresponds** to the HIPAA. - 27

35 The method of claim 1, wherein (B) comprises storing of the context data according to a synchronization scheme that combines...

9/5,K/14 (Item 12 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00889183 \*\*Image available\*\*  
APPARATUS AND METHOD FOR ACQUIRING INFORMATION AND PRODUCING A SIGNED DOCUMENT

DISPOSITIF ET PROCEDE PERMETTANT L'ACQUISITION D'INFORMATIONS ET LA PRODUCTION D'UN DOCUMENT SIGNE

Patent Applicant/Assignee:

ELECTRONIC BUSINESS PUBLISHING LIMITED, The Old Farmhouse, Willow Lane, Paddock Wood, Kent TN12 6PF, GB, GB (Residence), GB (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

ORNELLAS Timothy Stuart, The Old Farmhouse, Willow Lane, Paddock Wood, Kent TN12 6PF, GB, GB (Residence), GB (Nationality), (Designated only for: US)

NGERN Ang Lee, The Old Farmhouse, Willow Lane, Paddock Wood, Kent TN12 6PF, GB, GB (Residence), SG (Nationality), (Designated only for: US)

Legal Representative:

LLOYD Patrick Alexander Desmond (agent), Reddie & Grose, 16 Theobalds Road, London WC1X 8PL, GB,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200223316 A2-A3 20020321 (WO 0223316)

Application: WO 2001GB3740 20010821 (PCT/WO GB0103740)

Priority Application: US 2000662781 20000915

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU

SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: **G06F-007/12**

International Patent Class: G07C-009/00; H04L-009/32

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 7669

English Abstract

At least one data entry device such as a business card scanner for entering personal and/or company information, at least one monitor such as a touch-screen monitor for displaying the information and interactively acquiring additional information, at least one digital signature pad for receiving a handwritten signature impression from the user and converting it to a digital signature, and at least one computer electronically connected to the data entry device, the monitor, and the signature pad. The computer is preferably programmed to receive and electronically store the information from the data entry device, receive and electronically store the digital signature from said signature pad, and associate the signature with said information. A housing can be provided for the computer, data entry device, monitor, and signature pad.

French Abstract

Selon la presente invention, au moins un dispositif de saisie de donnees tel qu'un numeriseur de cartes de visite, sert a entrer des informations personnelles et/ou d'entreprise, au moins un moniteur tel qu'un moniteur a ecran tactile, sert a afficher les informations et a acquerir de facon interactive des informations supplementaires, au moins un pave de signature numerique sert a recevoir une impression de signature manuscrite de la part de l'utilisateur et a la convertir en une signature numerique, et au moins un ordinateur est electroniquement connecte au dispositif de saisie de donnees, au moniteur, et au pave de signature. L'ordinateur est de preference programme pour recevoir et enregistrer electroniquement les informations issues du dispositif de saisie de donnees, pour recevoir et enregistrer electroniquement la signature numerique issue du pave de signature numerique, et pour associer la signature auxdites informations. Un boitier peut etre utilise pour l'ordinateur, le dispositif de saisie de donnees, le moniteur et le pave de signature.

Legal Status (Type, Date, Text)

Publication 20020321 A2 Without international search report and to be republished upon receipt of that report.  
Examination 20021003 Request for preliminary examination prior to end of 19th month from priority date  
Search Rpt 20030227 Late publication of international search report  
Republication 20030227 A3 With international search report.

Main International Patent Class: G06F-007/12

Fulltext Availability:

Detailed Description

Detailed Description

... for manually typing in the information using a keyboard in lieu of scanning from a business card. The data is stored in a retrievable file **associated** with the

3

SUBSTITUTE SHEET ( RULE 26)

user. The touch-screen allows the user to select options such as viewing a video or placing an order for a product.

None of these devices or methods, however, provide for the storage and/or printing of a signed document meeting the aforementioned strict audit **requirements** of the publishing and exhibition industries. For these devices and methods to be used to satisfy the **audit requirements**, all the **information** would have to be printed onto physical documents and signed, which signed documents would have to be stored for later reference. Also, none of these...

9/5,K/16 (Item 14 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00871882

SYSTEM FOR ANALYZING RESULTS OF AN EMPLOYEE SURVEY TO DETERMINE EFFECTIVE AREAS OF ORGANIZATIONAL IMPROVEMENT

SYSTEME D'ANALYSE DES RESULTATS D'UN SONDAGE AUPRES DES EMPLOYES POUR DETERMINER LES DOMAINES EFFICACES DE L'AMELIORATION ORGANISATIONNELLE

Patent Applicant/Inventor:

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Legal Representative:

GOETZ Kenneth D (et al) (agent), Lathrop & Gage, LC, Suite 2800, 2345  
Grand Boulevard, Kansas City, MO 64108, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200205120 A2 20020117 (WO 0205120)

Application: WO 2001US21695 20010710 (PCT/WO US0121695)

Priority Application: US 2000217158 20000710

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CH CN CO CR CU  
CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR  
KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE  
SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/00

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 11825

English Abstract

French Abstract

Legal Status (Type, Date, Text)

Publication 20020117 A2 With declaration under Article 17(2)(a); without  
abstract; title not checked by the International  
Searching Authority.

Main International Patent Class: G06F-017/00

Fulltext Availability:

Detailed Description

Detailed Description

... inverted exclamation mark)ng the K 1 0. Applying the K14. Ensuring

K32. Ensuring

Organizational Organizational Compatible Interests Ethical Decision

Rewards Systems Rewards Systems of **Results** Making

K 1 3. **Auditing** & K 1 5. U sing Tough & K20. Ensuring

Reviewing Realistic Performance Compatibility of

Organizational **Standards** **Associate** Goals &

Progress Strategies

K 1 6. Ensuring Job

K 1 5. Using Tough & Performance K21. **Relating**

Realistic Performance Measurement & Compatibility of

**Standards** Application Interests & Unit Goals

K 1 9. Ens uring K 1 7. App Iying Total K22. Ensuring

Position Rewards Compensation Compatible Interests

Systems to Associates...

...Techriologies Isystems (inverted exclamation mark)Interests by HRM

HP9 Hp10 HP11 HP12

Setting Tough & Operating Equitable Ensuring Encouraging &

Realistic Performance & Effective Rewards Compatibility of Rewarding

**Standards** Systems Interests Ethical

Behavior for AU

Associates

Clarity of Clarity of Su ccessful Goal Clarity of

Measurement ures Achievement Measurement

Successful Goal Clarity o Associates...K 1 0. Applying the KI O. Applying

the K14. Ensuring K32. Ensuring

Organizational Organizational Compatible Ethical Decision

Rewards Systems Rewards Systems Interests Making

of **Results**

K 1 3. **Auditing** & K 1 5. Using Tough & K20. Ensuring

Reviewing Realistic Compatibility of

Organizational Performarice **Associate** Goals

Progress **Standards** & Strategies

K 1 5. Using Tough & K 1 6. Ensuring Job K2 1. Relating

Plealistic Performance Compatibility of

Performance Measurement & Interests & Unit

**Standards** Application Goals

K19. Ensuring K 1 7. Applying K22. Ensuring  
Position Rewards Total Compensation Compatible  
Systems to Associates Interests Among  
Stakeholders  
K73. Deploying K19. Ensuring...

...Ensuring

Technologies Systems Compatible

Interests by

IFIRM

HP9 HP10 HP11 HP12

Setting Tough & Operating Equitable Ensuring Encouraging &  
Realistic Performance & Effective Rewards. Compatibility of Rewarding  
Ethical

**Standards** Systems Interests Behavior for all

**Associates**

Clarity of Successful Goal Clarity of

y Of

Measurement Structures Achievement Measurement

Successfui Goal Clarity of Associates Are Associates Are

Achievement Measurement Assets/Resources Assets...

9/5,K/17 (Item 15 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00863534 \*\*Image available\*\*

**SYSTEM AND METHOD FOR COLLECTION, DISTRIBUTION, AND USE OF INFORMATION IN  
CONNECTION WITH HEALTH CARE DELIVERY**

**SYSTEME ET PROCEDE PERMETTANT DE RECUEILLIR, DISTRIBUER ET UTILISER DES  
INFORMATIONS AYANT TRAIT A LA DELIVRANCE DE SOINS**

Patent Applicant/Inventor:

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(Residence), US (Nationality)

Legal Representative:

BERNSTEIN Howard L (et al) (agent), Sughrue, Mion, Zinn, MacPeak & Seas,

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20037-3213, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200197132 A1 20011220 (WO 0197132)

Application: WO 2001US14856 20010614 (PCT/WO US0114856)

Priority Application: US 2000211380 20000614

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD

SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: **G06F-017/60**

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 13099

English Abstract

A health care system includes a hosted environment (4, 6) that provides health care treatment, diagnosis, and/or management. Health care providers (2a-2g) are linked to one another and to a central network, which is linked to patient (3a, 3b) via the hosted environment. The patient (3a, 3b) interfaces with the hosted environment (4, 6), which provides the global access to the health care provider (2a-2g). The

patient may also have medical devices (7) that facilitate collection of vital sign data (e.g., digital thermometer) and administration of treatment (e.g., medicine dispensary). The health care provider (2a-2g) can license the hosted environment (4, 6) to generate the treatment tree and perform the treatment. Thus, treatment is performed remotely based on globally standardized protocols. Additionally, a virtual clinical research organization (CRO) is provided, such that treating physicians and patients can participate in clinical trials and have access to new medical treatments.

#### French Abstract

La presente invention concerne un systeme de soins qui comprend un hebergeur (4, 6) qui fournit des traitements medicaux, des diagnostics et/ou une gestion. Des fournisseurs de soins de sante (2a-2g) sont en liaison les uns avec les autres et avec un reseau central, lequel est en liaison avec un patient (3a, 3b) via cet hebergeur. Le patient est en interface avec l'hebergeur (4, 6) qui fournit un acces mondial au fournisseur de soins (2a-2g). Le patient peut aussi posseder des dispositifs medicaux (7) qui facilitent le recueil de donnees de signes vitaux (par exemple un thermometre numerique), et l'administration de traitement (par exemple un dispensaire medical). Le fournisseur de soins (2a-2g) peut autoriser l'hebergeur (4, 6) a generer le schema du traitement et a realiser ce traitement. Ce traitement est ainsi realise a distance a base de protocoles normalises au niveau mondial. De plus, un organisme de recherche clinique virtuel (CRO) est prevu, de sorte que les medecins traitants et les patients puissent participer a des essais cliniques et puissent acceder a de nouveaux traitements medicaux.

#### Legal Status (Type, Date, Text)

Publication 20011220 A1 With international search report.

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Examination 20020516 Request for preliminary examination prior to end of 19th month from priority date

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

#### Detailed Description

... are repeated until the answer is 'TES'. If so, then all incident information. is entered into the electronic medical history, so as to append the **audit** trail and the patient **information** for more accurate future treatment, at step S18. Step S18 is standardized. In step S19, the billing **requirements** (e.g., insurance payment) are administered, to complete the online process.

In a first: example of the preferred method illustrated in Figures 3a and 3b...

...patient logs onto their personalized website using the patients' personal code with allergy symptoms.

The patient provides the necessary- information through screens that incorporate the **standard** of practice and **protocols related** to allergies to the sponsor network. The information provided by the patient is correlated with. the patient's medical record and history for past episodes...

9/5,K/18 (Item 16 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00847401

SYSTEMS AND METHODS FOR CONDUCTING DUE DILIGENCE

SYSTEMES ET PROCEDES POUR EFFECTUER UNE ANALYSE BASEE SUR LA DILIGENCE  
RAISONNABLE

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Patent and Priority Information (Country, Number, Date):

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Application: WO 2001US10957 20010404 (PCT/WO US0110957)

Priority Application: US 2000197143 20000414; US 2001681392 20010328

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DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ

LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG

SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

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Detailed Description

Claims

Fulltext Word Count: 9956

English Abstract

French Abstract

Legal Status (Type, Date, Text)

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abstract; title not checked by the International  
Searching Authority.

Examination 20020214 Request for preliminary examination prior to end of  
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Main International Patent Class: G06F-017/00

Fulltext Availability:

Claims

Claim

... 23 A database comprising:

data corresponding to at least one identified data collector;  
data corresponding to a time for collection of identified data for a  
**standard** documentation file; and  
data corresponding to the **standard** documentation file.

24 A database according to Claim 23 further comprising data  
corresponding to an evaluation of the effectiveness of collected data.

25 A database according to Claim 23 wherein said data  
**corresponding** to the **standard** documentation file comprises data  
documenting a transaction.

26 A database according to Claim 23 wherein said data  
**corresponding** to the **standard** documentation file comprises data  
provided by external deal teams and internal deal teams.

27 A database according to Claim 23 further comprising data  
corresponding to a percent completion of the **standard** documentation  
file.

28 A database according to Claim 23 wherein said data **corresponding** to the **standard** documentation file comprises at least one of data associating a pre-closing file with an **audit** report, **data** regarding accounts receivable aging and data relating to a top ten customers by sales volume.

29 A database according to Claim 23 further comprising data...

...corresponding to a due diligence checklist;  
a server configured to prompt a user to identify data that will be used to form at least one **standard** documentation file, identify at least one data collector to collect the identified data and to (inverted exclamation mark)identify a time for collection of the...  
...comprises at least one of data corresponding to at least one identified collector, data corresponding to a time for collection of identified data for a **standard** documentation file, and data **corresponding** to the **standard** documentation file.

41 A -systeïn according to Claim 40 wherein said database comprises data corresponding to an evaluation of effectiveness of collected data.

42 A system according to Claim 40 wherein-said database comprises data corresponding to a percent completion of the **standard** documentation file.

43 A system according to Claim 40 wherein said data **corresponding** to the **standard** documentation file comprises data **associating** a preclosing file with an **audit** report, **data** regarding accounts receivable aging and data relating to a top ten customers by sales volume.

44 A method for conducting due diligence, said method comprising the steps of. selecting, from an electronic interface, data to be used to form at least one **standard** documentation file;  
selecting, from the electronic interface, at least one data collector to collect the data; and  
requesting, from the electronic interface, a **standard** documentation file.

45 A method according to Claim 44 further comprising the step of selecting, from the electronic interface, a time for collection of identified...

9/5,K/21 (Item 19 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00809404 \*\*Image available\*\*  
**TRACKING OF CLINICAL STUDY SAMPLES, INFORMATION AND RESULTS**  
**LOCALISATION D'ECHANTILLONS D'ETUDES CLINIQUES, D'INFORMATIONS ET DE RESULTATS**  
Patent Applicant/Assignee:  
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Priority Application: 099170432 19991213

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DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ  
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG  
SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/60

Publication Language: English

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Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 3562

#### English Abstract

A method for the tracking of biological samples and information obtained from those samples during clinical studies is provided. In particular, the present invention provides a method that facilitates the tracking, analysis, and reporting of genotype information derived from biological samples taken from individuals during clinical studies. The method includes recording predetermined characteristics of biological samples in a database, determining procedures to be performed on those samples, determining sample attributes to be recorded, preparing a checklist that includes the procedures and attributes, storing the checklist in the database, performing the procedures and recording the results in the database. The present invention provides an automated system for tracking clinical study protocols, and allows access to information regarding a clinical study to be obtained from a central database. Accordingly, reports regarding the location, chain of custody, test results, and other information concerning samples in a study can be obtained in a highly automated fashion.

#### French Abstract

L'invention concerne un procede de localisation d'echantillons biologiques et d'informations obtenues de ces echantillons au cours d'etudes cliniques. Plus specialement, l'invention concerne un procede qui permet la localisation, l'analyse, le rapport d'informations de genotype tirees des echantillons biologiques extraits d'individus au cours d'etudes cliniques. Le procede consiste a enregistrer des caracteristiques predeterminees d'echantillons biologiques dans une base de donnees, a determiner les procedures a effectuer sur ces echantillons, a determiner les attributs d'echantillons a enregistrer, a preparer une liste de controle comprenant les procedures et les attributs, a stocker la liste de controle dans la base de donnees, a effectuer les procedures et a enregistrer les resultats dans la base de donnees. La presente invention concerne un systeme automatise permettant de localiser des protocoles d'etudes cliniques, et d'accéder a des informations liees a une etude clinique devant etre obtenue d'une base de donnees centrale. De cette facon, les rapports ayant trait a l'emplacement, a la chaine de possession, aux resultats des tests, et a d'autres informations liees aux echantillons d'une etude peuvent etre obtenus de maniere fortement automatisee.

#### Legal Status (Type, Date, Text)

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Fulltext Availability:

Detailed Description



## Detailed Description

... also be accessed. Changes made to the database also are tracked by the system, allowing complete and accurate auditing of samples from clinical studies and **associated** clinical study **protocols**. An audit report, according to one embodiment of the present invention, is illustrated in Fig. 10. The **information** included in an automated **audit** report may be selected by the user, depending on the parameters of interest.

Reports containing results of a clinical study can be easily generated using...

9/5,K/27 (Item 25 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00789104 \*\*Image available\*\*

### REAL-TIME PROGRAM AUDIT SOFTWARE

### LOGICIEL DE VERIFICATION DE PROGRAMME EN TEMPS REEL

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Priority Application: US 99398310 19990920; US 2000611210 20000706

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DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR

LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ

TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-009/45

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Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 13600

### English Abstract

Real-time program audit software that is a method and system for generating source program audit statements (33 of fig 5) and data as the program executes. These audits provide real-time execution analysis (600) of the program. The real-time audit is applicable to virtually any programming language that uses source program statements, whether the source statements are compiled into an executable object or are interpreted during execution. Program execution audits are based on the initial execution audit profile (26), customized execution audits, or dynamic audits specified during program execution. Program audit output is to disk, and is available for immediate online display or printing, or for expanded auditing analysis. Expanded auditing analysis provides for extensive analysis of the real-time program audit output data from all audited programs based on the desired analysis (22), which includes: program, user, date and time ranges, audit code prefix, audited file, field (24), label, and any execution audited data value.

### French Abstract

Cette invention se rapporte a un logiciel de verification de programme en temps reel, qui est constitue par un programme logiciel, a un procede et a un systeme servant a produire des instructions de verification de programme source qui fournissent des analyses d'instructions de programme et des donnees au cours de l'execution du programme. Ces verifications

permettent l'analyse en temps reel de l'execution du programme. La verification de programme en temps reel est applicable virtuellement a n'importe quel langage de programmation qui utilise des instructions de programme source, peu importe que ces instructions sources soient compilees en un objet executable ou soient interpretees pendant l'execution du programme. Des programmes sources traditionnels sont selectionnes pour verification sur la base d'un profil de verification; le profil de verification est personnalise pour des options de compilation et d'execution initiale specifiques; le programme source est developpe avec les instructions de verifications selectionnees; et le programme source est compile a l'aide d'un compilateur de langage traditionnel. Les verifications d'execution du programme sont basees sur le profil de verification d'execution initial, sur les verifications d'execution personnalisees ou sur des verifications dynamiques specifiees pendant l'execution du programme. La sortie de verification du programme s'effectue sur le disque et elle est disponible pour un affichage ou une impression en reseau immediat ou pour une analyse de verification developpee. L'analyse de verification developpee permet une analyse extensive des donnees de sortie de verification de programme en temps reel a partir de tous les programmes verifiees sur la base de l'analyse souhaitee, ces donnees etant notamment le programme, l'utilisation, les periodes exprimees en date et en heure, le prefixe de code de verification, le fichier verifie, le champ, l'etiquette et toute valeur de donnees verifiees d'execution.

Legal Status (Type, Date, Text)

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Fulltext Availability:

Detailed Description

Detailed Description

... Fig. 9B shows the auditing to disk selections 205,206 for the pre-compiler program 200. If the programmer has selected the option 205 to **audit** operation codes or **data** fields to disk, then the programmer must insert the File description source statements for the audit execution output file 42 into the source program statements. Audit execution output file 42 source statements are copied from the **audit** master **information**. **Related** files, records, fields, and **standard** processing routines for this function are also copied. All audit disk output will be written to the audit execution output file 42 disk. Alternatively, the programmer may select option 206, to effect the basic **auditing** of operation codes or **data** fields to disk.. In this case, the programmer must insert the file description source statements for the audit execution output file 42 into the source program statements. The program copies the current execution audit options file 43 source statements from the **audit** master **information**. Also, the program copies **related** file, record, field, and **standard** processing routines for this function. The current execution audit options file 43 is the audit execution options disk files which controls which of the audit options are active during program execution.

As shown in Fig. 9C, if the programmer has selected option 205 to **audit** operation codes or **data** fields to disk, and then selects option 207, the programmer inserts the file description source statements for the audit execution analysis printer file into the source program statements.

The program copies the audit execution analysis report file source statements from the audit master information and copies related files, records, field information, and processing routines for this function. This print record output is formatted in a manner similar to the...

9/5,K/50 (Item 48 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00371569 \*\*Image available\*\*

**SYSTEM AND METHOD FOR QUALITY MANAGEMENT**  
**SYSTEME ET PROCEDE DE GESTION DE LA QUALITE**

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Inventor(s):

MCFARLAND Jonna A,

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Patent: WO 9712311 A2 19970403

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19960321

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GB GE HU IL IS JP KE KG KP KR KZ LK LR LS LT LU LV MD MG MK MN MW MX NO

NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG US UZ VN KE LS MW SD SZ

UG AM AZ BY KG KZ MD RU TJ TM AT BE CH DE DK ES FI FR GB GR IE IT LU MC

NL PT SE BF BJ CF CG CI CM GA GN ML MR NE SN TD TG

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International Patent Class: G06F-17:60

Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 19620

**English Abstract**

A computer implemented system and method and a computer readable medium for complying with the requirements of a quality standard known as ISO 9000. The areas covered include controlled documentation, training management, meetings and reports, process improvement requests, project management, and audit management. All controlled documents have a security and revision control portion that controls the access and approval capabilities of the documents. The system is form controlled. Certain individual fields of the forms require the entry of data, and field's control are controlled by certain fields of other forms, with the fields being updated by other fields in the system, operator entry of data, and a combination of control by both the system and operator entry. The system includes an ISO matrix relating each document to an ISO clause. The system has a controlling document for each delineated activity, and all other documents relating to such activity are linked as a child of the controlling document. An audit trail is created by storing and making available previous iterations of current documents as child documents, insuring that the first issue, subsequent changes to content, movement to draft status, retrieval, and reissue are available for auditing the activities of the business.

**French Abstract**

Systeme et procede mis en oeuvre par ordinateur et support informatique permettant de se conformer aux exigences de la norme de qualite ISO 9000. Les domaines couverts sont les documents geres, la gestion de la formation, les reunions et les comptes-rendus, les demandes d'amelioration de procedes, la gestion de projets et la gestion de controles. Tous les documents geres ont une zone de gestion de securite et de revision qui permet de gerer les acces et approbations des documents. Le systeme fonctionne au moyen de formulaires. Certaines zones individuelles des formulaires necessitent la saisie de donnees, et des

elements de gestion de ces zones sont geres a leur tour certaines zones d'autres formulaires, ce qui fait que les zones sont mises a jour par d'autres zones du systeme, par des introductions de donnees faites par un operateur, et par une combinaison de commandes realisees aussi bien par le systeme que par les interventions de l'operateur. Le systeme comprend une matrice ISO mettant en relation chaque document avec une clause ISO. Le systeme possede un document de gestion pour chaque activite precise, et tous les autres documents se rapportant a cette activite ont une liaison de type fille avec le document de gestion. La creation d'un suivi de verification consiste a stocker et a rendre disponible des occurrences anterieures de documents courants tels que des documents filles, assurant ainsi que la premiere version, les modifications ulterieures de contenu, le passage a l'etat document preliminaire, les acces en lecture et la nouvelle version soient disponibles pour verifier les activites de l'entreprise.

Main International Patent Class: G06F-017/30

International Patent Class: G06F-17:60

Fulltext Availability:

Detailed Description

Detailed Description

... a master list is automatically generated which includes a document number, title, review authority, approval authority, and titles, which is a vehicle for satisfying the **requirements** of Sections 4.16, and 4.17 of the ISO **standards** as set forth in the **referenced** publication.

The audit management module 20 provides an electronic trail of individual audit activities as well as audit schedules. A controlling planning document is created, and checklists, **audit findings**, corrective action reports, and a record of managements acknowledgement of **audit findings** are all maintained as child documents of the planning documents.

Corrective action reports indicate current status (open or closed) in a summary view, which facilitates...

...The audit management module 20 also supports items which do not fall into non-compliance status, but may in the future. These are identified as **observations** and ties them to the **audit** in which they were found.

Audit schedules are produced automatically by the system simply by planning individual audits and filling in the planning document. A...

...to assist in planning. This allows the internal audit function to be moved to frontline organizations and assists in cross-functional training and propagation of **information**.

Thus, the **audit** management module is a vehicle for complying with Section 4.14, as well as Sections 4.16 and 4.17 of ISO 9000 **standards** as set forth in the **referenced** publication.

The project management module 18 creates and audit trail for all project activities, and enhances on organizations ability to take advantage of lessons learned...

...to the project are child documents and retained as an audit trail.

These documents are: Project Plan, Tasks, Project Issues, Task Issues, Meeting Minutes and **requirement** documents, Individual test results are logged from within the Test Plan.

Test results

9/5,K/51 (Item 49 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00344642

**SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT AND ELECTRONIC RIGHTS PROTECTION**

**SYSTEMES ET PROCEDES DE GESTION SECURISEE DE TRANSACTIONS ET DE PROTECTION ELECTRONIQUE DES DROITS**

Patent Applicant/Assignee:

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Inventor(s):

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SPAHN Francis J,  
VAN WIE David M,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9627155 A2 19960906

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GE HU IS JP KE KG KP KR KZ LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL

PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN KE LS MW SD SZ UG AZ BY

KG KZ RU TJ TM AT BE CH DE DK ES FR GB GR IE IT LU MC NL PT SE BF BJ CF

CG CI CM GA GN ML MR NE SN TD TG

Main International Patent Class: G06F-001/00

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Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 207972

**English Abstract**

The present invention provides systems and methods for electronic commerce including secure transaction management and electronic rights protection. Electronic appliances such as computers employed in accordance with the present invention help to ensure that information is accessed and used only in authorized ways, and maintain the integrity, availability, and/or confidentiality of the information. Secure subsystems used with such electronic appliances provide a distributed virtual distribution environment (VDE) that may enforce a secure chain of handling and control, for example, to control and/or meter or otherwise monitor use of electronically stored or disseminated information. Such a virtual distribution environment may be used to protect rights of various participants in electronic commerce and other electronic or electronic-facilitated transactions. Secure distributed and other operating system environments and architectures, employing, for example, secure semiconductor processing arrangements that may establish secure, protected environments at each node. These techniques may be used to support an end-to-end electronic information distribution capability that may be used, for example, utilizing the "electronic highway".

**French Abstract**

Systemes et procedes destines au domaine du commerce electronique, et notamment a la gestion securisee des transactions et a la protection electronique des droits. Les appareils electroniques tels que les ordinateurs utilises conformement a la presente invention permettent d'assurer que les informations ne sont consultees et exploitees que de maniere autorisee, et ils conservent l'integrite, la disponibilite et/ou le caractere confidentiel des informations. Les sous-systemes securises utilises en association avec de tels appareils electroniques constituent un environnement de distribution virtuel distribue (VDE) apte a imposer une chaine securisee de traitement et de commande, par exemple pour la commande et/ou la mesure ou encore le controle de l'utilisation d'informations stockees ou diffuses electroniquement. Cet environnement

de distribution virtuel peut servir a proteger les droits de differents individus impliquees dans le commerce electronique et dans d'autres transactions electroniques ou assistees par des moyens electroniques. On a egalement prevu des environnements et architectures de systeme d'exploitation distribues, securises et autres mettant en oeuvre, par exemple, des ensembles de traitement securise a semi-conducteurs pouvant etablir des environnements securises et proteges au niveau de chaque noeud. Ces techniques peuvent servir de soutien pour une fonction electronique de distribution d'informations de bout en bout, cette fonction etant utilisable, par exemple, dans le domaine de l'"autoroute electronique".

Main International Patent Class: G06F-001/00

International Patent Class: G06F-17:60

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... systems.

#### Controlling Electronic Content

The present invention provides a new kind of 'virtual distribution environment' (called "VDE" in this document) that secures, administers, and audits electronic information use. VDE also features fundamentally important capabilities for managing content that travels "across" the 'information highway.' These capabilities comprise a rights protection solution that serves... distribution model. A group of these pieces can represent the capabilities needed to fulfill the agreement(s) between users and providers. These pieces accommodate many requirements of electronic commerce including.

the distribution of permissions to use electronic information;

the persistence of the control information and sets of control information managing these permissions; configurable control set information that can be selected by users for use with such information ;

- 17

data security and usage auditing of electronic information ; and

a secure system for currency, compensation and debit management.

For electronic commerce, a rights application, under the preferred embodiment of the present invention, can...capabilities are required to implement an electronic commerce environment.

VDE is the first system that provides many of these capabilities and therefore solves fundamental problems related to electronic dissemination of information.

#### Electronic Content

VDE allows electronic arrangements to be created involving two or more parties. These agreements can themselves comprise a collection of agreements between participants in a commercial value chain and/or a data security chain model for handling, auditing, reporting, and payment. It can provide efficient, reusable, modifiable, and consistent means for secure electronic content: distribution, usage control, usage payment,

- 21

usage auditing, and usage reporting. Content may, for example, include.

I financial information such as electronic currency and credit;

1 commercially distributed electronic information such

distributor 106 can control use of content that has already been (or will in the future be) delivered. 'Rules and controls' may be delivered over a path different from the one used for content delivery. " Rules and controls" may also be delivered at some other time. The content creator 102 might deliver content to content user 112 over the electronic highway...

...content or generate a usage permission. Some events may need additional processing, and others may not.

Whether an "event" needs more processing depends on the " rules and controls" corresponding to the content. For example, a user who lacks permission will not have her request satisfied (No Go'). As another example, each user request to...sound such as a musical performance or a reading, a movie or other video, computer software, or just about any other kind of electronic information you can think of. Other types of 'objects' 300 (such as "administrative objects") may contain 'administrative' or other information instead of or in addition...container 302, and can also control how information content is to be charged based on "metering." Methods 1000 may apply to one or several different information contents 304 and associated containers 302, as well as to all or specific portions of information content 304.

Secure Processing Unit (SPU)

The WDE participants...volatile (i.e., it does not lose its contents when power is turned off).

High-speed RAM 534a stores active code to be executed and associated data structures.

NVRAM 534b preferably contains certain keys and summary values that are preloaded as part of an initialization process in which SPU 500 communicates with...

...212

information associated with the operation of SPU 500. For security reasons, certain highly sensitive information (e.g., certain load modules and certain encryption key related information such as internally generated private keys) needs to be loaded into or generated internally by SPU 500 from time to time but, once loaded...be

- 228

locally resident, remotely accessible, or carried along by the process to support execution on a remote system.

ROS 602 provides distribution of control information, including for example the distribution of control structures required to permit 'agents' to operate in remote environments.

Thus, ROS 602 provides facilities for passing execution and/or information control as part of emerging requirements for "agent" processes.

If desired, ROS 602 may independently distribute control information over very low bandwidth connections that may or may not be "real time" connections. ROS 602 provided by the preferred embodiment is 'network friendly,' and can be implemented with any level of networking protocol. Some examples include e-mail and direct connection at approximately "Layer 5" of the ISO model.

The ROS 602 distribution process (and the associated auditing of distributed information) is a controlled event that itself uses such control structures. This "reflective" distributed processing mechanism permits ROS 602 to securely distribute  
229  
rights and...

Claim

... or other administrative information by one or more parties.

290. A system as in claim 287 where the associating means further includes means for **associating** at least one **requirement** that **audit information** be collected and delivered to one or more auditing parties, and the delivering means includes 1032

means for delivering at least a portion of such **audit information** to one or more parties.

291. A system as in claim 288 further including means for automatically processing at least a portion of such **audit information**, and the system further includes means for transmitting further accounting, administrative and/or **audit information** to one or more parties that may be the same and/or differ from the one or more parties from whom **audit information** was received based at least in part on the receipt and/or content of such received audit information.



11/5,K/2 (Item 2 file: 348)  
DIALOG(R) File 348:EUROPEAN PATENTS  
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01154280

VERIFIABLE ELECTRONIC JOURNAL FOR A POINT OF SALE DEVICE AND METHODS FOR  
USING THE SAME  
UBERPRUFbares ELEKTRONISCHES LOGBUCH FUR EIN VERKAUFSSTELLENENDGERAT UND  
VERFAHREN ZU DESSEN VERWENDUNG  
JOURNAL ELECTRONIQUE VERIFIABLE POUR DISPOSITIF POINT DE VENTE ET METHODES  
D'UTILISATION

PATENT ASSIGNEE:

International Business Machines Corporation, (200128), New Orchard Road,  
Armonk, NY 10504, US\ (Proprietor designated states: , AT; BE; CH; LI;  
CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LU; NL; PT; SE)

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PATENT (CC, No, Kind, Date): EP 1118066 A1 010725 (Basic)

EP 1118066 B1 031203

WO 2000019387 000406

APPLICATION (CC, No, Date): EP 99947623 990917; WO 99GB3105 990917

PRIORITY (CC, No, Date): US 164215 980930

DESIGNATED STATES (Pub A): AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE;  
IT; LI; LU; MC; NL; PT; SE; (Pub B): AT; BE; CH; CY; DE; DK; ES; FI; FR;  
GB; GR; IE; IT; LI; LU; NL; PT; SE

EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI

INTERNATIONAL PATENT CLASS: G07G-001/12

CITED PATENTS (EP B): WO 96/36948 A; GB 2297414 A; US 4484277 A; US 4564904  
A

CITED PATENTS (WO A): GB 2297414 A ; WO 9636948 A ; US 4564904 A ; US  
4484277 A

ABSTRACT WORD COUNT: 6607

NOTE:

No A-document published by EPO

LEGAL STATUS (Type, Pub Date, Kind, Text):

Application: 000531 A1 International application. (Art. 158(1))

Application: 000531 A1 International application entering European  
phase

Application: 010725 A1 Published application with search report

Examination: 010725 A1 Date of request for examination: 20010425

Examination: 021127 A1 Date of dispatch of the first examination  
report: 20021014

Assignee: 030502 A1 Transfer of rights to new applicant:  
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(Applicant designated states: AT; BE; CH; LI;  
CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LU; NL;  
PT; SE)

Grant: 031203 B1 Granted patent /

LANGUAGE (Publication, Procedural, Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS B	(English)	200349	1138
CLAIMS B	(German)	200349	1027
CLAIMS B	(French)	200349	1430
SPEC B	(English)	200349	4821
Total word count - document A			0
Total word count - document B			8416
Total word count - documents A + B			8416

...SPECIFICATION fiscal bases 24 which, when so configured, provide a point  
of sale device according to the present invention.

Referring now to FIG. 5, operations for auditing the verifiable electronic journal system will now be described for an embodiment of the present invention. At block 150, the data signature contained in the journal...

...the agreed hash function 126. Finally, at block 154, the verification data signature is compared to the decrypted data signature to determine if the transaction information in the journal memory has been modified from the transaction information which was originally transferred from the random access memory of the acquiring point of sale device, such as the fiscal base, during the journal period...

11/5,K/3 (Item 3 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
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00885445

Method of providing limited access to preserve privacy within a message system

Verfahren zur Realisierung beschränkten Zugriffs zur Erhaltung einer Geheimhaltung in einem Nachrichtensystem

Methode pour fournir un acces limite pour conserver une confidentialite dans un systeme de message

PATENT ASSIGNEE:

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PATENT (CC, No, Kind, Date): EP 810764 A2 971203 (Basic)  
EP 810764 A3 020904

APPLICATION (CC, No, Date): EP 97107693 970512;

PRIORITY (CC, No, Date): US 656018 960531

DESIGNATED STATES: DE; FR; GB; IT

INTERNATIONAL PATENT CLASS: H04M-003/50

ABSTRACT EP 810764 A2

A method of preserving privacy in an electronic storage-and-retrieval message system includes providing access by designated persons to manipulating interface features for storage/retrieval information related to directing messages, while restricting access to any stored messages. In a voice mail system, the storage/retrieval interface feature includes the greeting that is presented to a calling party. A first access code, such as a password, is assigned to enable access to the interface features, while a second access code is assigned to enable message-retrieval. In the preferred embodiment, changes to a greeting or the like are reported in an audit message that is stored in the user's mailbox. The audit message is automatically generated. The audit message notifies the user of the history of any changes. Changes to a greeting may also be automatically generating by using a stepped sequence of prompts to solicit information relating to the user. For example, in a voice mail system, the sequence may be a series of voice prompts requiring responses by depressing selected telephone keys. The method may be used with message systems that store messages in one or more forms of audio, video, textual and facsimile data.

ABSTRACT WORD COUNT: 193

NOTE:

Figure number on first page: 1

LEGAL STATUS (Type, Pub Date, Kind, Text):

Assignee: 011107 A2 Transfer of rights to new applicant: Siemens  
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(2616911) 900 Broken Sound Parkway Boca Raton,  
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Application: 971201 Published application (A1with Search Report  
;A2without Search Report)  
Examination: 030917 A2 Date of dispatch of the first examination  
report: 20030804  
Search Report: 020904 A3 Separate publication of the search report  
Change: 020911 A2 Legal representative(s) changed 20020723  
\*Assignee: 980128 A2 Applicant (transfer of rights) (change):  
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DE;FR;GB;IT)  
Examination: 980624 A2 Date of filing of request for examination:  
980425

LANGUAGE (Publication,Procedural,Application): English; English; English  
FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	9711W4	1016
SPEC A	(English)	9711W4	3795
Total word count - document A			4811
Total word count - document B			0
Total word count - documents A + B			4811

...SPECIFICATION access code is used to provide only limited access. Thus,  
a designated person other than the particular user, such as the user's  
supervisor, may **non** -intrusively **change** storage/retrieval **information**  
if the user is unexpectedly absent. Again referring to the voice mail  
example, a supervisor can change a personally recorded or automatically  
generated greeting to...

...the supervisor will not be able to retrieve any messages stored for the  
unavailable user.

In the preferred embodiment, the change to the storage/retrieval  
**information** is recorded to provide an **audit** trail. An audit message  
may be stored in the mailbox of the user, with the audit message  
identifying both the person that initiated the change...

11/5,K/4 (Item 4 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
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00822811

**Medical information communications system and method**  
**System und Verfahren zur Vermittlung medizinischer Daten**  
**Systeme et procede de communication d'information medicale**  
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AT;BE;CH;DE;DK;ES;FI;FR;GB;GR;IE;IT;LI;LU;MC;NL;PT;SE)

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PATENT (CC, No, Kind, Date): EP 764911 A1 970326 (Basic)

APPLICATION (CC, No, Date): EP 96202340 960822;

PRIORITY (CC, No, Date): US 518081 950822

DESIGNATED STATES: AT; BE; CH; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI; LU;  
MC; NL; PT; SE

INTERNATIONAL PATENT CLASS: G06F-017/60;

ABSTRACT EP 764911 A1

The present invention is directed to a global emergency medical  
information communications system and method for delivering medical  
information via credit card transaction terminals located in emergency  
rooms, emergency vehicles, and other remote locations around the world.  
The various embodiments disclosed incorporate a medical information  
database capable of delivering medical information to transaction

terminals. The system method incorporates the use of existing public switched telephone networks, existing credit transaction networks, or other networks for effecting the delivery of medical information.

In accordance with the invention, a subscriber to the system swipes a subscriber card, registered credit card, or other registered access card at a credit card transaction terminal. The request is then communicated via either the public switched telephone network or existing credit transaction network to the central medical information database. The database then verifies the cards and delivers the associated subscriber medical information back through either network to be printed at the transaction terminal and/or at a designated facsimile machine.

ABSTRACT WORD COUNT: 163

LEGAL STATUS (Type, Pub Date, Kind, Text):

Application: 970326 A1 Published application (A1with Search Report  
;A2without Search Report)

Examination: 970820 A1 Date of filing of request for examination:  
970604

Examination: 970903 A1 Date of despatch of first examination report:  
970717

Withdrawal: 991020 A1 Date application deemed withdrawn: 19990409

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	EPAB97	807
SPEC A	(English)	EPAB97	5439
Total word count - document A			6246
Total word count - document B			0
Total word count - documents A + B			6246

...SPECIFICATION create an additional record, placed after the previous record. This allows the reconstruction of the status at any point in time, and provides a complete **audit** trail of all entries.

**Data** is entered at any terminal 1 on any node of the central system network and is then asynchronously replicated to all other nodes by use

...  
...that node. Should a node become unavailable for any reason, the log entries accumulate until the node becomes available again.

To maintain integrity of the **data**, modifications of database entries are **not** permitted. **Changes** in **information** are implemented by entry of an additional record which is linked to the longitudinal chain for that MEDBANK subscriber. For example, a change of address...

11/5,K/12 (Item 6 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00973228 \*\*Image available\*\*

**SYSTEM FOR PROTECTING COPYRIGHTED MATERIALS**

**SYSTEME DE PROTECTION D'OBJETS COUVERTS PAR UN DROIT D'AUTEUR**

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Legal Representative:

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Patent and Priority Information (Country, Number, Date):

Patent: 200303213 A1 20030109 (WO 0303 )

Application: WO 2002IB2474 20020627 (PCT/WO IB0202474)

Priority Application: US 2001893589 20010629

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU  
CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP  
KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO  
RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW  
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-011/30

International Patent Class: G06F-012/14; G06F-017/60; H04L-009/00;  
H04L-009/32; H04K-001/00

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 3762

#### English Abstract

A system for protecting copyrighted materials which are digitally transferred. A terminal (14) is wirelessly connected to a server (12), digital rights management engine (18) and content storage device (16). After the user is authenticated, the server gains authorization to forward the content to the user. By having almost all functions in the secure area of the server, illegal copying is less likely to occur.

#### French Abstract

La presente invention concerne un systeme permettant de proteger des objets couverts par un droit d'auteur transférés numeriquement. Selon le systeme de l'invention, un terminal (14) est relie sans fil a un serveur (12), a un moteur de gestion de droits numeriques (18) et a un dispositif de stockage de contenus (16). Apres que l'utilisateur a ete authentifie, le serveur obtient l'autorisation de transmettre le contenu a l'utilisateur. Presque toutes les fonctions etant rassemblees dans la zone securisee du serveur, il est moins probable que puisse se produire une copie illegale.

#### Legal Status (Type, Date, Text)

Publication 20030109 A1 With international search report.

Publication 20030109 A1 Before the expiration of the time limit for  
amending the claims and to be republished in the  
event of the receipt of amendments.

Fulltext Availability:

Detailed Description

#### Detailed Description

... itself comprise data on the requesting user, identification data of the user's device, data relating to requesting time, and data relating to the requested content. The data in the audit trail storage may not be modified. The information as stored therein may be used e.g. to make charges where appropriate to the user. At the same time, the

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requested data is...

11/5,K/13 (Item 7 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00962474

SYSTEM AND METHOD FOR NONQUALIFIED BENEFIT PLAN DESIGN, IMPLEMENTATION, AND  
ADMINISTRATION

SYSTEME ET PROCEDE DE CONCEPTION, D'INSTALLATION ET D'ADMINISTRATION D'UN  
REGIME DE PRESTATIONS NON QUALIFIE

Patent Applicant/Assignee:

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Legal Representative:

GALIS Mark R (et al) (agent), Altheimer & Gray, 10 S. Wacker Drive, Suite  
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Patent and Priority Information (Country, Number, Date):

Patent: WO 200295647 A2 20021128 (WO 0295647)

Application: WO 2001US28065 20010907 (PCT/WO US0128065)

Priority Application: US 2001292772 20010522

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU

SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 14647

English Abstract

French Abstract

Legal Status (Type, Date, Text)

Publication 20021128 A2 With declaration under Article 17(2)(a); without  
abstract; title not checked by the International  
Searching Authority.

Fulltext Availability:

Detailed Description

Detailed Description

... different Corporations. Agent can also  
help the Plan sponsor in Plan creation and  
implementation process.

Auditor The user can view any plan, product or  
marketing **information** in the system.

**Auditor** is **not** privileged to **modify** any part  
of the system.

Channel Partner The user can market and sell Company  
services

Content Creator The user can post  
marketing/ communications content for...

11/5,K/14 (Item 8 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00944720 \*\*Image available\*\*

SYSTEM AND METHOD FOR PROVIDING AUDIT TRACKING

SYSTEME ET PROCEDE DE REALISATION DE SUIVI DE VERIFICATION

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KAYDEN James W (agent), Thomas, Kayden, Horstemeyer & Risley, L.L.P., 100 Galleria Parkway, NW, Suite 1750, Atlanta, GA 30339-5948, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200277770 A2-A3 20021003 (WO 0277770)

Application: WO 2002US8940 20020322 (PCT/WO US0208940)

Priority Application: US 2001278070 20010322

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO

RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 8889

English Abstract

A system (102) and method for tracking audits of employees is provided. In a simplified embodiment, the system utilizes a memory (106) and a processor (112) programmed by software stored within the memory. The processor is programmed to perform the steps of: requesting a user of the system to specify a number of employed entities to be audited; requesting the user of the system to specify a number of queries to be provided for auditing the employed entities; selecting the specified number of employed entities; requesting the user of the system to provide a job code (182) for each of the selected employed entities to further define the queries that are selected for auditing each of the selected employed entities; and, selecting the specified number of queries for each of the selected employed entities.

French Abstract

La presente invention concerne un systeme et un procede permettant d'effectuer le suivi de la verification d'employes. Dans un mode de realisation simplifie, le systeme utilise une memoire et un processeur programme par un logiciel au sein de la memoire. Le processeur est programme pour effectuer des etapes suivantes: requete aupres d'un utilisateur du systeme de preciser un nombre d'entites utilisees a etre verifiees ; requete aupres de l'utilisateur du systeme de preciser un nombre d'interrogations a fournir pour la verification des entites utilisees; selection du nombre specifie d'entites utilisees; requete aupres de l'utilisateur du systeme de fournir une code tache pour chacune des entites utilisees choisies afin de definir davantage les interrogations qui sont choisies pour la verification de chacune des entites utilisees; et, la selection d'un nombre determine d'interrogations pour chacune des entites utilisees choisies.

Legal Status (Type, Date, Text)

Publication 20021003 A2 Without international search report and to be republished upon receipt of that report.

Search Rpt 20030522 Late publication of international search report

Republication 20030522 A3 With international search report.

Examination 20031023 Request for preliminary examination prior to end of 19th month from priority date

Fulltext Availability:

Detailed Description

Detailed Description

... so that the employee may use the present auditing system 102 (FIG. 1) for viewing finalized and computer inputted audit reports, editing the computer inputted **audit** reports, entering **results** from **audits**, and/or performing **audits** on employees. Low level security access does **not** allow **editing** of **data** stored within tables 120, 140, 160, 180 of the nonvolatile storage device 118 (FIG. 1).

The security level for a manager that utilizes the auditing...

...102 (FIG. 1) may be set to high, thereby allowing the manager to enter, edit and/or manipulate data and reports via use of the **auditing** system 102 (FIG. 1). Editing, **data** manipulation, and  
7  
reports are further discussed in detail below. It should be **noted** that **auditing** functions made available for each separate level of security may differ and be changed by a user having the highest security level.

An employee number...access allows the user to utilize the present auditing system 102 (FIG. 1) for viewing finalized and computer inputted audit reports, editing the computer inputted **audit** reports, entering **results** from completed audits performed via use of **observation** sheets, and performing **audits**. **Observation** sheets are forms that are created and used by the auditing system 102 (FIG. 1) to perform random employee auditing. Further discussion of the production and use of observation sheets is 15 provided in detail below. Low level security access does **not** allow **editing** of **data** stored within tables 120, 140, 160, 180 of the nonvolatile storage device 118 (FIG. 1).

If the user identification and password are valid...

11/5,K/15 (Item 9 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00943767 \*\*Image available\*\*

**SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR A SUPPLY CHAIN MANAGEMENT SYSTEME, PROCEDE ET PRODUIT PROGRAMME INFORMATIQUE CONCUS POUR UNE GESTION DE CHAINE D'APPROVISIONNEMENT**

Patent Applicant/Assignee:

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Patent Applicant/Inventor:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200277917 A1 20021003 (WO 0277917)

Application: WO 2002US8287 20020319 (PCT/WO US0208287)

Priority Application: US 2001815580 20010323; US 2001815598 20010323; US 2001816565 20010323; US 2001816488 20010323; US 2001816426 20010323; US 2001815899 20010323; US 2001816507 20010323; US 2001816422 20010323; US 2001816269 20010323; US 2001816491 20010323; US 2001816101 20010323; US 2001816231 20010323; US 2001816421 20010323; US 2001816069 20010323; US 2001816296 20010323; US 2001816249 20010323; US 2001816121 20010323; US 2001815668 20010323; US 2001816187 20010323; US 2001815490 20010323; US 2001816471 20010323; US 2001815606 20010323; US 2001815777 20010323; US 2001815813 20010323; US 2001816429 20010323; US 2001815515 20010323; US 2001816543 20010323; US 2001816349 20010323; US 2001816331 20010323; US 2001816167 20010323; US 2001816881 20010323; US 2001816536 20010323; US 2001816092 20010323; US 2001816576 20010323; US 2001815759 20010323; US 2001816495 20010323; US 2001816976 20010323; US 2001816083 20010323; US 2001815715 20010323; US 2001815989 20010323; US 2001816561 20010323; US 2001815483 20010323; US 2001816553 20010323; US 2001815688 20010323; US 2001816388 20010323; US 2001816358 20010323; US 2001815729 20010323; US 2001816537 20010323; US 2001816434 20010323; US 2001815897 20010323; US 2001815734 20010323; US 2001816431 20010323; US 2001816021 20010323; US 2001816454 20010323; US 2001816413 20010323; US 2001816430 20010323; US 2001816428 20010323; US 2001815830 20010323; US 2001816922 20010323; US 2001815489 20010323; US 2001816048 20010323; US 2001815727 20010323; US 2001816212 20010323; US 2001815660 20010323; US 2001815894 20010323; US 2001816151 20010323; US 2001816582 20010323; US 2001816033 20010323; US

2001816357 20010323; US 2001816420 20010323; US 2001816503 20010323; US 2001816160 20010323; US 2001815893 20010323; US  
2001816414 20010323; US 2001815792 20010323; US 2001815864 20010323; US  
2001816896 20010323; US 2001815725 20010323; US 2001816285 20010323; US  
2001815973 20010323; US 2001815845 20010323; US 2001816314 20010323; US  
2001816075 20010323; US 2001816944 20010323; US 2001815559 20010323; US  
2001816203 20010323; US 2001816567 20010323; US 2001816268 20010323; US  
2001816424 20010323; US 2001816564 20010323; US 2001816455 20010323; US  
2001816412 20010323; US 2001815590 20010323; US 2001816555 20010323; US  
2001816560 20010323; US 2001816427 20010323; US 2001834600 20010413; US  
2001834838 20010413; US 2001834924 20010413; US 2001834465 20010413

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU  
CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP  
KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO  
RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Main International Patent Class: G06K-015/00

International Patent Class: G07B-015/02; G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 114107

#### English Abstract

A system, method and computer program product (100) are disclosed for collaborative forecasting utilizing a supply chain management framework. A global forecast is identified for a plurality of outlets of a supply chain and then stored in memory. The global forecast (4400) is subsequently transmitted to each of the outlets utilizing a network. Feedback relating to the global forecast is received from the outlets utilizing the network and stored in memory. The global forecast is then altered based on the feedback and the supply chain is managed utilizing the altered global forecast. Many other embodiments and aspects are disclosed and claimed.

#### French Abstract

L'invention concerne un systeme, un procede et un produit programme informatique (100) concus pour des previsions collaboratives au moyen d'un cadre de gestion de chaine d'approvisionnement. Une prevision globale est identifiee pour une pluralite de points de vente d'une chaine d'approvisionnement puis est stockee en memoire. La prevision globale est ensuite transmise a chacun des points vente par le biais d'un reseau (4400). Une retroaction relative a la prevision globale est recue des points de vente au moyen du reseau puis est stockee en memoire. La prevision globale est alors modifiee en fonction de la retroaction et la chaine d'approvisionnement est geree a l'aide de la prevision globale modifiee. Plusieurs autres modes de realisation et aspects sont exposes et revendiques.

Legal Status (Type, Date, Text)

Publication 20021003 A1 With international search report.

Publication 20021003 A1 Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.

Examination 20030220 Request for preliminary examination prior to end of 19th month from priority date

Fulltext Availability:

Detailed Description

#### Detailed Description

... been compromised, the file system is usually the first thing to go-and an intruder could easily cover up traces of the intrusion.

5 Collecting **audit data** on a write-once device is slightly more effort to configure than a simple file, but it has the significant advantage of greatly increased security because an intruder could **not alter** the **data** showing that an intrusion has occurred. The disadvantage of this method is the need to maintain a supply of storage media and the cost of be optimized against security breaches. Keeping this audit collection process in-house would require effort to secure the various options for maintaining **audit data** integrity, detailed further in the following sub-section.

#### Preserving Audit Data

**Audit data** should be some of the most carefully secured data at the site and in the backups. If an intruder were to gain access to audit logs, the systems themselves, in addition to the **data** would be at risk.

**Audit data** may also become useful to the investigation, apprehension, and prosecution of the perpetrator of an incident. If a data handling plan is not adequately defined...

...in the aftermath of an event, and it may 1 5 create liability resulting from improper treatment of the data.

#### Legal Considerations

Due to the **content** of **audit data**, there are a number of legal questions that arise which might need to be addressed by legal counsel. As the Supply Chain management system collects and saves **audit data**, it needs to be prepared for consequences resulting both from its existence and its content.

One area concerns the privacy of individuals. In certain instances, **audit data** may contain personal **information**. Searching through the data, even for a routine check of the system's security, could represent an invasion of privacy. The privacy policy outlined in...

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DIALOG(R)File 349:PCT FULLTEXT  
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00937070 \*\*Image available\*\*

#### SYSTEM FOR COLLECTING AND STORING INFORMATION

#### SYSTEME DE RECUPERATION ET D'ENREGISTREMENT D'INFORMATIONS

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200271164 A2-A3 20020912 (WO 0271164)

Application: WO 2002GB990 20020306 (PCT/WO GB0200990)

Priority Application: US 2001799093 20010306

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CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO

RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD TJ TM  
Main International Patent Class: G05B-019/408  
International Patent Class: G05B-019/418  
Publication Language: English  
Filing Language: English  
Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 13284

#### English Abstract

The invention is an improvement to previous data acquisition systems in which log sheets are used to record events such as faults with machinery. The invention provides a system which allows a potential future occurrence to be defined rapidly and very easily. The system thereafter allows the actual occurrence of such events to be recorded as they happen. The event definition can be constantly updated so that more information on the nature of the event can be obtained as time progresses. The system therefore allows the impact of potential problems to be assessed quickly and at low cost. The system can also be used to diagnose problems and provide real time feedback about the occurrence of events. A preferable embodiment of the system comprises an input means attached to a controller, the controller comprising an event definer connected to an input means configurer. The controller is fruther connected to a database for storing data about the occurence of events.

#### French Abstract

L'invention concerne un systeme d'acquisition de donnees ameliore faisant intervenir des feuilles de controle pour l'enregistrement d'evenements tels que des pannes machines. Le systeme selon l'invention permet de definir rapidement et simplement un evenement potentiel futur, et d'enregistrer de tels evenements lorsqu'ils surviennent. La definition d'evenement peut etre actualisee en continu de maniere a obtenir plus d'informations sur la nature de l'evenement avec le temps. Le systeme selon l'invention permet par ailleurs d'evaluer rapidement et a moindres couts l'impact de problemes potentiels. Ledit systeme peut egalement etre employe pour diagnostiquer des problemes et fournir une retroaction en temps reel concernant la survenue des evenements. Dans un mode de realisation prefere, le systeme selon l'invention comporte un moyen de saisie relie a un controleur, le controleur comportant quant a lui un definiteur d'evenement connecte a un configurateur de moyen de saisie. Ledit controleur est par ailleurs connecte a une base de donnees destinee a enregistrer des donnees concernant la survenue des evenements.

#### Legal Status (Type, Date, Text)

Publication 20020912 A2 Without international search report and to be republished upon receipt of that report.  
Search Rpt 20030530 Late publication of international search report  
Republication 20030530 A3 With international search report.  
Republication 20030530 A3 Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.

#### Fulltext Availability: Detailed Description

#### Detailed Description

... stoppage. When a parameter is changed, all the results for all time are affected and the result history is updated retrospectively. However, the actual event **log** is **not changed** since this is the primary source of data.

It is only the results presented to the user that change when a parameter is changed.

This...

...and can have the immediate effect on all of the results.

Thus, the present invention can reconstruct an historical trail from a minimum of key **data** , ie. From an **audit** log containing only the event ID and a timestamp. The system can redefine the profile of an event and reconstruct a fully populated history table...

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DIALOG(R)File 349:PCT FULLTEXT  
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00740783 \*\*Image available\*\*

**AUTOMATED DATA INTEGRITY AUDITING SYSTEM**

**SYSTEME AUTOMATISE DE VERIFICATION DE L'INTEGRITE DE DONNEES**

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Patent and Priority Information (Country, Number, Date):

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Application: WO 2000US6204 20000309 (PCT/WO US0006204)

Priority Application: US 99123736 19990310

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DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK

LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL

TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

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Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 16534

**English Abstract**

An automated computer-based data integrity auditing system is provided for use in the healthcare industry, financial industry, academic and educational fields, or any other field in which a need exists for monitoring data integrity. Coded data (16) received from a service organization (10, 12) are checked for proper coding and completeness (66). The coded data (16) are stored in a computer database (58) together with indicators specifying bad data found during the checking step (66). The stored coded data are processed in a computer to apply at least one data integrity test (42, 44) to a portion of the data. A score (24) is assigned to the tested portion of data based on the data integrity test. Reports (22, 52) are generated by the computer to identify the score together with suggestions for resolving any data integrity and/or coding and completeness problems determined by the system. Real-time reports (38) can also be provided to the organization to assist in coding and entering the data prior to a formal submission to a government agency or the like.

**French Abstract**

L'invention concerne un systeme automatise de verification de l'integrite de donnees par ordinateur, destine a s'utiliser dans le domaine de la sante, dans le domaine financier, dans le domaine academique et dans celui de l'education, ou dans tout autre domaine dans lequel il est necessaire de controler l'integrite des donnees. On verifie le codage

adequat et l'integralite (66) de donnees (16) codees provenant d'un organisme de services. Les donnees (16) codees sont memorisees dans une base de donnees (58) d'ordinateur conjointement avec des indicateurs designant les donnees defectueuses trouvees lors de la phase (66) de verification. On effectue un traitement des donnees codees memorisees dans un ordinateur pour proceder a au moins un essai (42, 44) d'integrite de donnees sur une partie des donnees. On attribue une note (24) a la partie des donnees soumise a l'essai sur la base de l'essai d'integrite de donnees. Des rapports (22, 52) generes par l'ordinateur indiquent la note et font des suggestions pour resoudre tout probleme determine par le systeme et lie a l'integrite des donnees et/ou au codage et a l'integralite. Des rapports (38) en temps reel permettent egalement a l'organisme de coder et d'entrer les donnees avant de les soumettre a une agence gouvernementale ou analogue.

Legal Status (Type, Date, Text)

Publication	20000914	A2 Without international search report and to be republished upon receipt of that report.
Search Rpt	20010301	Late publication of international search report
Republication	20010301	A3 With international search report.
Republication	20010301	A3 Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.
Examination	20010517	Request for preliminary examination prior to end of 19th month from priority date

Fulltext Availability:

Detailed Description

Detailed Description

... reimbursement usually would be higher, as well.

If there is more than one data integrity issue involving RUGS items, the process requires iteration.

That is, **Data Integrity Audit** tests are given in a standard order. After each test, the MDS is modified if necessary to eliminate any data integrity issue.

This is continued through the entire list of data integrity tests. Then, the tests are applied again, to verify that new **data** integrity issues were **not** created by the **changes** just made. This process is repeated if necessary.

For example, an original MDS assessment, assessment A, determines the baseline RUGS group this we call Ab...

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00548246 \*\*Image available\*\*

**METHODS FOR GENERATING A VERIFIABLE AUDIT RECORD AND PERFORMING AN AUDIT  
PROCEDES RELATIFS A L'ELABORATION D'UNE FICHE DE CONTROLE VERIFIABLE ET A  
L'EXECUTION D'UN CONTROLE**

Patent Applicant/Assignee:

PEHA John M,

Inventor(s):

PEHA John M,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200011619 A1 20000302 (WO 0011619)

Application: WO 99US18935 19990820 (PCT/WO US9918935)

Priority Application: US 98138175 19980821

Designated States: AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK

DM EE ES FI GB GD GE G M HR HU ID IL IN IS JP KE KG K R KZ LC LK LR  
LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM  
TR TT UA UG UZ VN YU ZA ZW GH GM KE LS MW SD SL SZ UG ZW AM AZ BY KG KZ  
MD RU TJ TM AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ  
CF CG CI CM GA GN GW ML MR NE SN TD TG

Main International Patent Class: G07D-007/00

International Patent Class: G07F-007/12; H04L-009/32

Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 7401

#### English Abstract

A method for associating data with documents that aid in the subsequent auditing of those documents. The invention in one embodiment further provides methods for **auditing** the documents. The associated **data** includes information for verifying the document's authorship, as well as for verifying that the **document** has **not** been **altered**. The associated **data** may further include information for verifying the document's existence at a certain time. By associating verifiable authorship data, the invention provides methods for retrieval of all of a specific author's documents from a collection of documents.

#### French Abstract

L'invention concerne un procede relatif a l'association de donnees et de documents facilitant ensuite l'execution d'un controle des documents en question. Selon une variante, l'invention concerne des procedes relatifs au controle des documents. Les donnees associees comportent des elements d'information qui permettent de verifier la paternite de tel ou tel document, et de verifier aussi que le document n'a pas ete modifie. Ces donnees associees peuvent egalement comporter des elements d'information permettant de verifier l'existence de tel ou tel document a un moment donne. L'invention concerne enfin des procedes qui, par l'association de certaines donnees de paternite verifiables a des documents, permettent d'extraire les documents d'un auteur specifique dans une serie de documents.

Fulltext Availability:

Detailed Description

#### English Abstract

A method for associating data with documents that aid in the subsequent auditing of those documents. The invention in one embodiment further provides methods for **auditing** the documents. The associated **data** includes information for verifying the document's authorship, as well as for verifying that the **document** has **not** been **altered**. The associated **data** may further include information for verifying the document's existence at a certain time. By associating verifiable authorship data, the invention provides methods for retrieval...

#### Detailed Description

... 18 then uses his private key 52 to io encrypt a copy of the submitted information and appends this encrypted copy 56 to the submitted **information**, thus forming a Verifiable **Audit** Record 22.

FIGURE 7 depicts the steps involved in auditing this sort of Verifiable Audit Record 22.

As in the previous examples, the Auditor 14...

...in turn. As in the previous examples 1 5 the Auditor 14 uses the Notary's public key 54 to verify that the Verifiable Audit **Record** 22 has **not** been **modified** since submission. The Auditor 14 then uses the Author's public key 44 to verify that the Message Digest 70 belongs to the Author IO...

...14. In these methods, because the Verifiable Audit Records 22 are kept

where they can be viewed and recorded by others, the Notary 18 cannot alter these records without risking subsequent detection.

In another method for ensuring that Verifiable Audit Records 22 have not been modified subsequent to their submission to a Notary 18, the Verifiable Audit Records 22 include Audit Record Verification Information 56. Such information may include a Notary's digital signature.

Such information may also be based upon one or more previously submitted Verifiable Audit Records 22. In yet another method for ensuring that Verifiable Audit Records 22 have not been modified subsequent to their submission to a Notary 18, an Author IO submits the same information to several different Notaries 18. If the Verifiable Audit...

...For the purposes of this invention, the receipt will be referred to as a Notary's - loCertificate. In one method, the Notary's Certificate includes Audit Record Verification Information 56.

Example.

The following example is intended to illustrate an application of the invention in the context of an Internet content-provider. The example is ...a given time period was reported. Since the notary never knows which response will be investigated, there is always deterrence for an incomplete response.

The auditor randomly records some of the data stored on the web page, checking later to see that this data has not been altered. The auditor also periodically examines the data that is not on public display (which includes author identification information) to insure that if you apply the appropriate one-way hash, it does yield...

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DIALOG(R)File 349:PCT FULLTEXT  
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00545168 \*\*Image available\*\*

**METHOD FOR PARALLEL APPROVAL OF AN ELECTRONIC DOCUMENT**  
**PROCEDE POUR L'HOMOLOGATION EN PARALLELE D'UN DOCUMENT ELECTRONIQUE**

Patent Applicant/Assignee:

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Inventor(s):

PETROGIANNIS Tommy,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200008541 A1 20000217 (WO 0008541)

Application: WO 99CA719 19990806 (PCT/WO CA9900719)

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EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS

LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR

TT UA UG UZ VN YU ZA ZW GH GM KE LS MW SD SL SZ UG ZW AM AZ BY KG KZ MD

RU TJ TM AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF

CG CI CM GA GN GW ML MR NE SN TD TG

Main International Patent Class: G06F-001/00

Publication Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 8211

**English Abstract**

A computer-based system providing for the electronic approval of documents in parallel. An electronic document is issued for approval by a user at one point in time at some location. It can subsequently be accessed by other users, who can then electronically approve the documents simultaneously or serially. The technology alerts users to any unauthorized modifications which may have been made to the document



during subsequent approvals. A document authentication code (DAC 0) is generated, linked to the original document. Subsequent approvals of the document generate a DAC x related to that specific approval as well as approval information such as an individual's handwritten signature as well as any other identifying information (Name, date and time of signing, biometrics, voice, fingerprint, picture, etc...) which may be required for the approval process. If the DAC generated for each subsequent approval matches the DAC 0, the approval is validated, optionally encrypted and stored in an Approval Data Packet (ADP) along with the approval information. A match in the DACs also confirms that users are working from the same document and that the data has not been changed in the interim (i.e. all users are approving the same document). Should the DACs not match, corrective action may be necessary. The data stored in the EADPs may be incorporated into the original document.

#### French Abstract

L'invention porte sur un systeme informatise assurant l'homologation electronique de documents en parallele. Un document electronique est emis pour homologation par un utilisateur a un moment donne et a un certain emplacement. D'autres utilisateurs, pouvant ensuite y avoir acces, peuvent alors homologuer electroniquement les documents simultanement ou en serie. Le systeme avertit les utilisateurs de certaines modifications non autorisees qui peuvent avoir ete faites sur le document lors d'homologations ulterieures. Un code d'authentification de document (DAC 0) est genere, lie au document original. Les homologations ulterieures des documents generent un DAC x par rapport a cette homologation specifique ainsi que des informations sur les homologations telles que signatures manuscrites d'individus et toute autre information d'identification (nom, date et heure de la signature, biometrie, voix, empreinte, photo, etc...) qui peuvent etre requises pour le processus d'homologation. Si le DAC genere pour chaque homologation ulterieure correspond au DAC 0, l'homologation est validee, eventuellement codee et stockee dans un paquet de donnees d'homologation (ADP) avec les informations sur les homologations. Une mise en correspondance des DAC confirme que les utilisateurs travaillent a partir du meme document et que les donnees n'ont pas ete modifiees dans l'interim (c.-a-d. que tous les utilisateurs homologuent le meme document). Si les DAC ne correspondent pas, une action correctrice peut etre necessaire. Les donnees stockees dans les EADP peuvent etre introduites dans le document d'origine.

#### Fulltext Availability: Detailed Description

##### Detailed Description

... they are all approving the same unmodified document. In such cases, each approval will generate a DAC on the document being approved along with additional **information** such as 1 5 **audit information**, (i.e. date and time of signing, name of signer) and handwritten signature, or other identifying items such as voice and fingerprints, photograph or biometric...

...compared to the DAC generated by the user. If they match, this will confirm that every user approving the document is actually approving the same **information** and that the **data** has **not** been **changed** between approvals by the different users.